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ABSTRACT

This paper reviews 11 studies dealing with collaborative organizational arrangements and investigates 26 projects involving such arrangements. The 11 studies identified as relevant to the work of conceptualizing a regional grants program include patterns of information useful for planning in the areas of organizational communication, definition of improvement of practice, evaluation of existing networks, and potential problem areas. The study of currently functioning grants produced useful information on new approaches and led to the following generalizations: successful cooperatives tend to focus on and organize for important reasons, the impetus for formation of a collaborative varies widely, collaboratives utilize widely differing strategies to achieve efficient delivery of services, and timing for a collaborative effort is critical. Appendices provide the selection rationale for the projects and the interview questionnaire. (Author/RAA)

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Interorganizational Arrangements For Collaborative Efforts

PROJECT STUDIES

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February 29, 1980

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FOREWORD

The materials in this document are part of a larger collection of reports prepared by the Dissemination Program of the Northwest Regional Educational Laboratory. They were produced as a result of a contract awarded by the Regional Program (RP) of the National Institute of Education (NIE), Program for the Dissemination and Improvement of Practice. The Regional Program stimulates and supports mechanisms for improving educational practice and equity through regional approaches. It emphasizes interagency collaboration among decision makers in regions, states, local school districts, regional laboratories, R&D centers, colleges and universities and other educational organizations.

The Regional Program has developed a plan that calls for a set of activities designed to focus organizational resources and capacities on NIE's two goals of improving practice and increasing equity in schools. A major component of the plan is a program that will fund a variety of organizations working in collaboration to undertake promising approaches to practice improvement. The activities carried out by NWREL were designed to provide information and thinking that would be used by Regional Program staff in designing this funding program.

Under the NWREL contract, two seminars were held where RP staff and selected practitioners together explored the issues related to organizational collaboration for practice improvement. This resulted in the volume titled Seminar Proceedings.

Work was also done to provide a basis from research and from other literature for further consideration of Regional Program issues. This resulted in two volumes titled Commissioned Papers and Literature Review.

The contract also resulted in a compilation of information about existing interorganizational arrangements for improving educational practice. This resulted in the volume titled Project Studies. The fifth volume attempts to derive and pull together implications and conclusions from all of these activities and is titled Final Report.

Each of the activities conducted by NWREL was designed to explore four issues that the Regional Program believed were key to planning the new program. These issues were expressed as a series of questions related to the outcomes of improvement of practice and increased equity, through the strategy of supporting alternative forms of interorganizational collaboration and to the mechanism of working through intermediaries. Although these and other relevant questions have not been answered fully, a major step has been taken through this "collaborative efforts" project. This document is made available to you for your own use and to help the Regional Program further understand and clarify issues related to these general topics. We would appreciate your reactions to this document and to the others in this series. Your comments will assist us as we continue to develop and improve the Regional Program. Thank you for your help.

David P. Mack, Regional Program
Team Leader for Development
National Institute of Education

W. E. Ellis, Assistant Director for
Regional Program
National Institute of Education

OVERVIEW

A major aspect of this project was to identify operational patterns which have proved useful in collaborative interorganizational arrangements. This analysis utilized two strategies for data collection:

1. Examination of key studies and summarizations of information from them which would be relevant to Regional Program planning
2. A series of telephone interviews with key program or management persons in successful, currently operating collaborative school improvement projects

One of the data sources was the eleven existing studies which NIE had identified as relevant to the work of conceptualizing a Regional Grants program. It should be noted that these studies were not undertaken, initially, to explore the issues of this study. Although the emphasis of each of the studies differs, patterns of information useful for Regional Program planning were identified:

1. To insure that target groups receive information, processes for two-way communication between practitioners and researchers need to be carefully structured and maintained.
2. In defining "improvement of practice," there appears to be a movement away from utilization and/or implementation to building of capacity, systemic change and the ability to deal with new priorities.
3. Evaluating, strengthening and supporting existing networks is seen as a reasonable, efficient and cost-effective approach.
4. The studies indicate problem areas such as limited vision of what constitutes dissemination (i.e., data bases, etc.), on the one hand, and program "overreach" on the other; and the potential danger of funding programs to improve practice in areas which are not on target for local constituent needs.

Staff of the National Institute of Education (NIE) and the Northwest Regional Educational Laboratory (NWREL) were in agreement that much needed to be learned about the gradual development of cooperatives, alternative organizational structures, barriers to successful cooperation and so on. Both parties reasoned that, while new options were both possible and desirable, it would be logical and necessary to extract as many clues as possible from currently functioning grants. This document includes the salient information gleaned from the survey. Summarizing the survey data has been a fascinating and somewhat difficult process in that uniqueness of each collaborative provides a wealth of useful information on new approaches. We can, however, generalize in this way:

1. Successful cooperatives tend to focus on and organize for important reasons.
2. The impetus for formation of a collaborative varies widely.
3. Collaboratives utilize widely differing strategies and functions under disparate guiding philosophies. All of them muster efficient ways of delivering useful services to their membership.
4. Timing for formation of a collaborative is critical; there must be a real need and a readiness to take action.

Having explored and documented, to some degree, the dynamics of these projects, we are left with feelings of respect, excitement and further curiosity about the phenomenon of collaboration as defined uniquely by each of these projects. We want to discover further "what makes them tick." We are impressed, for example, with the kinds of multiple impacts made by such projects as THEE Door, CORE, Project Gain and the National Collaboration for Youth; the levels of involvement achieved by such collaboratives as the Alaska Native Foundation, the Colorado BOCES Network, the Little Tennessee Valley Educational Cooperative, and the United States Forestry Service Environmental Educational Collaborative and the spirit of such organizations as The National Juvenile Justice Program Collaboration, the Illinois Consultation on Ethnicity in Education, the Experience-Based Career Education Network and The Minnesota Women's Network.

We would like to call attention to several additional things regarding the summaries in this monograph. First, for the syntheses and interview summaries, there is a wealth of substantiating material. The texts of the full studies are available, as are the transcriptions of the full interviews with the existing collaborative projects. These, in and of themselves, are an extremely rich data source.

Secondly, the syntheses of the existing studies are the interpretations of NWREL staff. As indicated earlier, these studies were originally conducted for other purposes. Our purpose was to interpret them for trends which were useful in a different context.

These sources represent two potential reservoirs of information for future work.

Virginia Thompson, Director
Dissemination Program
Northwest Regional Educational
Laboratory

ACKNOWLEDGEMENTS

Of the many individuals who have participated in the preparation of these documents, special recognition is due to three groups of people.

First, there are a great number of individuals who provided NWREL with nominations of projects for inclusion in this important activity. The project had, as one of its goals, the discovery of successful collaboratives which involved multiple agencies. We did not want to reinvestigate the usual, well-known collaboratives--the attempt was to expose some of the highly successful, but less commonly known, efforts. This goal was accomplished through the persistent efforts of a host of individuals.

Second, the project directors themselves deserve very special recognition. The telephone interviews alone took a considerable amount of valuable time from project operations. Compressed time frames resulted in many contacts being made outside the normal business day. We appreciate the cooperative willingness of these individuals to work with us.

Third, many staff members of the Northwest Regional Educational Laboratory have contributed significantly to the preparation of the interview summaries and the syntheses of existing studies. Again, time constraints imposed pressure to produce these documents rapidly, and many staff willingly redirected time to assure completion of the efforts. In addition to staff members within the Dissemination Program who coordinated the overall process of this component of the project, people in other support units of the Laboratory assisted in the many tasks involved in the production of this monograph.

The immeasurable contributions of all of these individuals is gratefully acknowledged.

SYNTHESES OF STUDIES

Studies of Collaborative Organizational Arrangements

Eleven studies dealing with collaborative organizational arrangements that have as their purpose the improvement of educational practice were analyzed for their applicability to Regional Program planning. Although the emphasis of each of the studies differs, patterns of information relevant to regional Program planning can be identified. This cross-study syntheses was guided by the following general constructs:

1. The four **interorganizational categories**: geographical, product related, issue related and special population focus
2. The involvement of four **target groups**: teachers, principals, school board members and chief state school officers
3. **Barriers and incentives** for collaboration
4. Effectiveness in achieving the **goal of improved practice**
5. Effectiveness in achieving the **goal of equity**
6. **Conditions for institutionalizing** programs initiated with external funding

---

Involvement of Target Groups:

The **assumption** that it is possible to **design an effective research/development/diffusion/improvement of practice effort** through some **systematic arrangement of organizational-level components without the direct participation of the potential client in each step** is being seriously **questioned.**

Users/clients need to be more actively **involved in the earliest planning stages** to be effective.

Processes for two-way communication ("feed forward") between practitioners and researchers/developers/policy makers which is continuous and productive need to be carefully **structured** and **maintained** to be effective.

Improvement of Practice:

The definition of "Improvement of practice" is moving away from utilization and/or implementation to **building of capacity, systemic change, ability to deal with "new priorities."**

Local education agencies need **assistance in "survival skills and areas"** (levy failures, "back to basics," community antagonism); the goal of **innovative practices may not meet actual practitioner needs.**

A **long-term** (more than one year), **direct relationship** between a **resource person or group** and a **practitioner organization** which facilitates and promotes ongoing **mutual information exchange** and **helping activities** with respect to significant **practitioner needs** is highly recommended.

Collaborative Efforts:

Evaluating, strengthening and supporting **existing networks** is seen as **reasonable and effective approach.**

Technical assistance personnel, linkers, intermediaries, etc. must be able to **function effectively** in **local district cultures** as well as in the **federal context.**

Clarity and **consistency** of **mission, goals** and **objectives** is essential; **practitioner participation** in formulating these is particularly important in **collaborative efforts** and for "quality control" of **intermediaries.**

Problems of Existing Systems:

The type of information that can be identified through **ERIC/R&D utilization/knowledge production utilization** dissemination studies constitutes only a **small part of the knowledge basedin** education.

"**Mission overreach**"and **intermediary overload** remain a potential **problem.**

Rewards are too high in existing systems for the development of "**products**" that achieve a **large number of adoptions/utilization.**

Title: A Framework for the Evaluation of the State Capacity Building Program

Author: NTS Research Corporation. May 1978

Theme: The State Dissemination Grants Program (National Institute of Education) was established to improve educational practice by encouraging state education agencies to develop their capacity for accessing information resources and for linking such information to the needs of educators. This monograph presents the organizing framework for the NTS evaluation of the State Capacity Building Program in Dissemination. The evaluation is designed to analyze the process of developing a comprehensive dissemination capacity in state education agencies (SEAs) and to assess the impact of capacity building activities.

Key Points: The general information needs of the evaluation are expressed through two overarching questions:

- Is dissemination capacity being built? If so, how?
- Is the State Capacity Building Program having an effect? If so, what is the nature of the effect?

Dissemination capacity has been conceptualized as consisting of service capacity plus user capacity. Service capacity is composed of contextual, system characteristics and output variables in each of the study domains of leadership/management, information resources, linkages and clients. User capacity is composed of two major domains: potential clientele and actual clientele.

Four sets of evaluation questions address the building of dissemination capacity.

(EQA1) What knowledge can be generated regarding the origins, objectives and plans of the capacity building projects?

(EQA2) What knowledge can be generated concerning service capacity?

(EQA3) What knowledge can be generated concerning user capacity?

(EQA4) How good a match is there between service capacity and user capacity?

During the first year of the evaluation, the impact of the project on the SEA dissemination system will be examined. Both intended and unintended outcomes will be reported. Individual profiles will be developed and analysis will be undertaken to assess any commonalities in impact across the funded projects.

Three evaluation questions address the effects of State Capacity Building Projects:

(EQB1) What effects are the projects having?

(EQB2) Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?

(EQB3) What effects are related to the federal role?

Three evaluation questions portray new data collection and analysis activities for year two to be derived from design work.

(A2c) Into what limited number of types can projects be clustered on the basis of identified contextual elements within service capacity?

(A2d) Into what limited number of types can projects be clustered on the basis of identified system characteristics within service capacity?

(A2e) On the basis of identified contextual clusters and identified system characteristic clusters, what meaningful models can be derived?

It is envisioned that a limited number of types will emerge based on clustering contextual and system characteristic variables. The interrelationships of these clusters then define models of capacity building. The intention of eventually tying these models to output variables in each of the four domains of leadership/management, information resources, linkages and clients is indicated.

The area of potential client capacity requires complete design work during year one. Tentative evaluation questions are:

(A3a) What knowledge can be generated concerning potential client capacity?

1. Who are the potential clients?
2. What are the perceptions of potential clients regarding service needs?
3. To what extent are potential clients aware of the service capacity of the project? SEA? State?

4. To what extent are potential clients knowledgeable of how to access/utilize the service capacity of the project? SEA? State?

A first year design work report will include all new evaluation questions, variable sets, instruments and analysis procedures generated during year one. Procedures of data collection and analysis from year one will also be included so that the final design report will describe complete utilization procedures for year two.

A FRAMEWORK FOR THE EVALUATION OF THE STATE CAPACITY BUILDING PROGRAM

NTS Research Corporation
May 1978

This monograph presents the organizing framework for the NTS evaluation of the State Capacity Building Program in Dissemination. The evaluation is designed to analyze the process of developing a comprehensive dissemination capacity in state education agencies (SEAs) and to assess the impact of capacity building activities. The State Dissemination Grants Program (National Institute of Education) was established to improve educational practice by encouraging state education agencies to develop their capacity for accessing information resources and for linking such information to the needs of educators.

The State Capacity Building Program (SCBP) has been defined by broad NIE goals. Comprehensive dissemination capacity, as defined in the Grants announcements, requires three components:

- A comprehensive set of resources
- A means of linking client groups to the resource base
- The leadership and management arrangements which facilitate the provision of services on any problem to all clients

The Program is to respond to any information request from clients, to be user-driven. States develop their own specific objectives from the broad goals.

The general information needs of the evaluation are expressed through two overarching questions:

- Is dissemination capacity being built? If so, how?
- Is the State Capacity Building Program having an effect? If so, what is the nature of the effect?

More specific evaluation questions have been formulated through the collaboration of NIE, NTS and the States.

During the first year of the evaluation, data collection and analysis activities will focus on certain questions. Further design work will be carried out on other evaluation questions. In most cases, data collection and analysis begun during year one of the evaluation effort will continue during year two, with results of design work being incorporated.

The evaluation questions will be examined at three levels: project, SEA, State. The primary focus during the first year of the evaluation will be data collection and analysis at the project level. First year design work will focus on expansion of levels of investigation so that subsequent data collection and analysis activities can include an assessment of capacity building activities at the SEA and state levels.

Data Collection and Analysis Procedures for Year I

A. Dissemination Capacity

Dissemination capacity has been conceptualized as consisting of service capacity plus user capacity. Service capacity is composed of contextual, system characteristics and output variables in each of the study domains of leadership/management, information resources, linkages and clients. User capacity is composed of two major domains: potential clientele and actual clientele. Variables for user capacity remain to be specified during year one design work, but will probably include: user awareness of existence of resources, knowledge of methods for accessing resources, ability to articulate problem statements, negotiation skills and sophistication in using services.

Four sets of evaluation questions address the building of dissemination capacity.

(EQA1) What knowledge can be generated regarding the origins, objectives and plans of the capacity building projects?

(EQA2) What knowledge can be generated concerning service capacity?

(EQA3) What knowledge can be generated concerning user capacity?

(EQA4) How good a match is there between service capacity and user capacity?

Data collection and analysis during year one will focus primarily on Evaluation Questions A1 and A2 with some preliminary data collection on A3.

Specific Evaluation Questions on Dissemination Capacity:

IS DISSEMINATION CAPACITY BEING BUILT? IF SO, HOW?

1. What knowledge can be generated regarding the origins, objectives and plans of the capacity building projects?
    a. What are the similarities and differences within and across the States in
        - Project plans?
        - Comprehensive state dissemination plans?
    b. How much progress or growth has there been in building capacity
        - Relative to NIE program goals?
        - Relative to project objectives?
        - Relative to baseline or other previous measure?
        - Relative to a comprehensive state dissemination plan, if applicable?
2. What knowledge can be generated concerning service capacity?
    a. What are the chief contextual elements within service capacity which characterize and differentiate projects? SEAs? States?

b. What are the chief system characteristics within service capacity which characterize and differentiate projects? SEAs? States?

c. Into what limited number of types can projects/SEAs/ States be clustered on the basis of identified contextual elements within service capacity?

d. Into what limited number of types can projects/SEAs/ States be clustered on the basis of identified system characteristics within service capacity?

e. On the basis of identified contextual clusters and identified system characteristics clusters, what meaningful models can be derived?

f. What are the chief output variables within service capacity that characterize and differentiate projects? SEAs? States? Models?

3. What knowledge can be generated concerning user capacity?

   a. What knowledge can be generated concerning potential client capacity?

      1) Who are the potential clients? (Note possible differences between total potential clientele and a more limited clientele that is targeted or designated for a specific purpose or time period.)

      2) What are the perceptions of potential clients regarding service needs?

      3) To what extent are potential clients aware of the service capacity of the project? SEA? States?

      4) To what extent are potential clients knowledgeable of how to access/utilize the service capacity of the project? SEA? State?

   b. What knowledge can be generated concerning actual clientele?

      1) Who are the actual users of the service capacity of the project? SEA? State?

      2) What are the actual service capacity needs as expressed in requests of the project? SEA? State?

      3) To what extent are the clients satisfied with the dissemination services provided by the project? SEA? State?

      4) In what ways are the services utilized which are provided by the project? SEA? State?

c. What are the quantitative and qualitative relationships of actual clientele to potential clientele?

4. How good a match is there between service capacity and user capacity?

   a. What are the relationships between service capacity and user capacity?

   b. To what extent are changes in service capacity and user capacity accommodated by changes in the other?

B. Effect of the State Capacity Building Program

During the first year of the evaluation, the impact of the project on the SEA dissemination system will be examined. Both intended and unintended outcomes will be reported. Individual profiles will be developed and analysis will be undertaken to assess any commonalities in impact across the funded projects.

(EQB1) What effects are the projects having?

The institutionalization of dissemination functions within the SEA will be addressed in a limited manner during year one. Variables include: increased visability and incorporation of dissemination functions, increased commitment of project staff and relevant SEA officials to dissemination functions, changes in project management functions, project status with the SEA and state and the utilization by the project of system intelligence.

(EQB2) Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?

Program management (e.g., grant renewal criteria, funding policies, communication patterns, pattern of decision making), monitor involvement and scope of influence and federal context (political context, administrative support for the Program) are variables to be analyzed in Evaluation Question B3.

(EQB3) What effects are related to the federal role?

Specific Evaluation Questions on Effects of State Capacity Building Projects:

IS THE STATE CAPACITY BUILDING PROGRAM HAVING AN EFFECT? IF SO, WHAT IS THE NATURE OF THE EFFECT?

1. What effects are the projects having?
   a. What impact is each project having on
      - SEA dissemination efforts?
      - State dissemination efforts?
   b. What are the similarities and differences across projects in terms of these impacts?

2. Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?

3. What effects are related to the federal role?
   a. What is the impact of different elements of the NIE program design and management on capacity building and institutionalization?
   b. Are there changes that should be made to facilitate the building and institutionalization of state capacity?

Design Work for Year I

The results of design work for year one are expected to lead to a tightening of instrumentation and further identification of relevant variables.

Three evaluation questions portray new data collection and analysis activities for year two to be derived from design work.

(A2c) Into what limited number of types can projects be clustered on the basis of identified contextual elements within service capacity?

(A2d) Into what limited number of types can projects be clustered on the basis of identified system characteristics within service capacity?

(A2e) On the basis of identified contextual clusters and identified system characteristic clusters, what meaningful models can be derived?

It is envisioned that a limited number of types will emerge based on clustering contextual and system characteristic variables. The interrelationships of these clusters then define models of capacity building. The intention of eventually tying these models to output variables in each of the four domains of leadership/management, information resources, linkages and clients is indicated by the authors.

The area of potential client capacity requires complete design work during year one. Tentative evaluation questions are suggested as an initial step:

(A3a) What knowledge can be generated concerning potential client capacity?

1) Who are the potential clients?
2) What are the perceptions of potential clients regarding service needs?
3) To what extent are potential clients aware of the service capacity of the project? SEA? State?
4) To what extent are potential clients knowledgeable of how to access/utilize the service capacity of the project? SEA? State?

A first year design work report will include all new evaluation questions, variable sets, instruments and analysis procedures generated during year one. Procedures of data collection and analysis from year one will also be included so that the final design report will describe complete utilization procedures for year two.

Title: A Study of Dissemination Efforts Supporting School Improvement (Project Summary)

Author: David Crandall
The NETWORK, October, 1978

Theme: A major study of school improvement activities in the United States has been funded by USOE for a three-year period (1978-81). The NETWORK will study the process of school improvement and determine what roles federal and state dissemination activities play in the process. "What actions can policymakers take to foster effective improvement efforts in schools?" is the central question. To answer this question, the study will identify the most important factors affecting local school improvement efforts and examine how variations in these factors influence the implementation of such efforts.

Key Points: In addition to taking an indepth look at the dynamics of implementation at the local level, the study will describe many of the major dissemination initiatives aimed at local school improvement and will examine the behavior and influence of external dissemination agents and their sponsors. The study will focus primarily on USOE programs, but will also look at efforts initiated at the state and local levels. Coordination with dissemination programs and studies sponsored by the National Institute of Education is a high priority as well.

The National Diffusion Network (NDN) is of particular interest to the study sponsor as is Follow Through's recent initiative to disseminate the successes of their initial ten year experiment through the NDN. In addition, other OE efforts, many of them relatively recent, will be sought out, described, and "mapped." State level efforts constitute another group of activities that will be explored. Finally, the study hopes to understand fully the richness and diversity of school improvement efforts--not only those stimulated by external (e.g., federal or state) initiatives--and thus will investigate a sample of locally-initiated improvement efforts.

Local school personnel involved in improvement efforts are surrounded by a constellation of other actors whose perspectives and behaviors may bear on those of school people in important ways. This constellation includes "linker" (i.e., those people external to the local school who alert school people to program alternatives, assist them in considering the fit between selected programs and their assessed needs, and provide planning and problem-solving help to them as they implement new projects), people who assist the linkers, program managers within sponsoring agencies, and policymakers at various levels within the bureaucracy and legislature. The study will systematically explore the beliefs and assumptions held by these individuals regarding the improvement process--its goals, preferred strategies, desired impacts, etc.; how they will put these assumptions into action; and the extent to which this constellation of key actors constitutes a system with structural properties. We plan to pay particular attention to the dynamics of the relationship between various linkers and the local school people who adopt and implement innovations.

The first year of the study includes a broad-based literature, document and background review complemented by conversations with an array of federal and state officials as well as representatives of major technical assistance efforts. Based on information secured during this initial phase, a document which synthesizes the documentation and literature review will be prepared and a study design and data management plan finalized. Concurrent with this early design work, the initial phase of the development of the formative evaluation system will commence.

Early in the second year of the project, school year 1979-80, a sample of 200 local sites will be selected for study. Following the selection of the sample of local schools, two-day visits will be made by the field research teams to each of the 200 sites and to approximately the same number of individual linkers associated with those sites. The visits will focus on understanding the processes involved in various school improvement initiatives. Moreover, the visits will provide an opportunity to learn about the experience, problems, constraints and successes related to these school improvement efforts from the perspective of the local school personnel and the linking agents engaged in such processes. Concurrent with the field research, the formative evaluation system will be piloted by NDN participants and revised and refined as required.

A STUDY OF DISSEMINATION EFFORTS SUPPORTING SCHOOL IMPROVEMENT (PROJECT SUMMARY)

David P. Crandall, The NETWORK
October 1978

The NETWORK has been contracted by USOE for a major study of school improvement activities in the United States. During a three-year period (1978-81) the process of school improvement and the roles federal and state dissemination activities play in that process will be examined. The purposes of the study are:

- To explore and describe the structure and operations of the National Diffusion Network and other major dissemination activities conducted by various USOE programs.
- To examine the relationship between federal dissemination efforts and SEA/state dissemination activities.
- To examine assumptions underlying current and alternative dissemination strategies.
- To determine the extent to which and the ways in which exemplary projects are implemented in new sites and explore the conditions that contribute to or are obstacles to their effective implementation.
- To design and implement a formative evaluation system for USOE's National Diffusion Network.
- To recommend ways in which dissemination activities should be conducted in the future.

The central concern of the study is indicated by the question, "What actions can policymakers take to foster effective improvement efforts in schools?" To answer this question, the study will identify the most important factors affecting local school improvement efforts and examine how variations in these factors influence the implementation of such efforts.

In addition to taking an indepth look at the dynamics of implementation at the local level, the study will describe many of the major dissemination initiatives aimed at local school improvement and will examine the behavior and influence of external dissemination agents and their sponsors. The study will focus primarily on USOE programs, but will also look at efforts initiated at the state and local levels. (Coordination with dissemination programs and studies sponsored by the National Institute of Education is a high priority as well.) The overall goal is to provide a reasonably comprehensive description and analysis of the array of initiatives currently employing diverse dissemination strategies to improve schools.

Four different approaches to school improvement will be examined.

- The first approach, the National Diffusion Network (NDN), supports people called "State Facilitators" to alert schools to the availability of a national pool of validated exemplary practices developed principally by local educators. These educators, called "Developer/Demonstrators," are funded to travel to schools all around the country and train other teachers in how to use the instructional practices and materials they've developed and used successfully.
- The second strategy is a partnership between the Bureau of Education for the Handicapped (BEH) and selected commercial publishers to provide teachers with products developed by various demonstration projects and endorsed for nationwide marketing after careful review by a special panel. It's called the BEH Marketing Program.
- In the third approach, State Education Agencies are encouraged under various federal grant programs and special capacity building programs to help local schools upgrade their instructional practices. In some states, legislatures have appropriated additional money to support school improvement.
- The fourth strategy approaches school improvement goals differently. Title IV-C of the Elmentary and Secondary Education act provides funds to local districts for development and implementation of their own new practices and materials. This contrasts with the previous three approaches which involve adopting or adapting innovative practices and materials developed outside the district.

The National Diffusion Network (NDN) is of particular interest to the study sponsor as is Follow Through's recent initiative to disseminate the successes of their initial ten year experiment through the NDN. In addition, other OE efforts, many of them relatively recent, will be sought out, described and "mapped." State level efforts constitute another group of activities that will be explored. Finally, the study hopes to understand fully the richness and diversity of school improvement efforts--not only those stimulated by external (e.g., federal or state) initiatives--and thus will investigate a sample of locally-initiated improvement efforts.

Local school personnel involved in improvement efforts are surrounded by a constellation of other actors whose perspectives and behaviors may bear on those of school people in important ways. This constellation includes "linkers" (i.e., those people external to the local school who alert school people to program alternatives, assist them in considering the fit between selected programs and their assessed needs, and provide planning and problem solving help to them as they implement new projects), people who assist the linkers, program managers within sponsoring agencies, and policymakers at various levels within the bureaucracy and legislature. The study will systematically explore the beliefs and assumptions held by these individuals regarding the improvement process--its goals, preferred strategies, desired impacts, etc.; how they will put these assumptions into action; and the extent to which this constellation of key actors constitutes a system with structural properties. We plan to pay particular attention to the dynamics of the relationship between various linkers and the local school people who adopt and implement innovations.

Study Activities

The first year of the study includes a broad-based literature, document and background review complemented by conversations with an array of federal and state officials as well as representatives of major technical assistance efforts. Based on information secured during this initial phase, a report which synthesizes the documentation and literature review will be prepared and a study design and data management plan finalized. Concurrent with this early design work, the initial phase of the development of the formative evaluation system will commence. Questionnaires, loosely-structured interviews, and other instruments for data-gathering purposes will be designed and pre-tested during the first year of the study.

Early in the second year of the project, school year 1979-80, a sample of 200 local sites will be selected for study. Following the selection of the sample of local schools, two-day visits will be made by the field research teams to each of the 200 sites and to approximately the same number of individual linkers associated with those sites. The visits will focus on understanding the processes involved in various school improvement initiatives. Moreover, the visits will provide an opportunity to learn about the experience, problems, constraints and successes related to these school improvement efforts from the perspective of the local school personnel and the linking agents engaged in such processes. Concurrent with the field research, the formative evaluation system will be piloted by NDN participants and revised and refined as required.

Structure

The NETWORK as the prime contractor will orchestrate the activities of subcontractors, consultants, and study advisors under the direction of David P. Crandall, Principal Investigator, and Charles Thompson, Study Manager. Field research concerned with NDN-related efforts in local schools will be carried out by teams based at the University of Texas R&D Center, Austin, under Gene Hall; and at the Center for the Study of

Evaluation, UCLA, Los Angeles under Adrianne Bank. Field research concerned with the other OE, SEA, Follow Through, and internally-initiated efforts will be conducted by researchers from The NETWORK in Andover. A study of the linkers related to each of the local school improvement efforts being studied will be conducted by a team headed by Ronald Havelock at the Center for Technology and Administration, American University, Washington, D. C. The NETWORK will also manage an ethnographic component.

The contract also includes a service component focused on developing and implementing a formative evaluation system for USOE's National Diffusion Network. Principal responsibility for this resides with the Center for the Study of Evaluation at UCLA.

Title: A Synthesis of Findings Across Five Recent Studies in Educational Dissemination and Change (Revised Edition)

Author: John Emrick and Susan Peterson
Far West Laboratory, June, 1978

Theme: The descriptions of five dissemination/utilization programs, the assumptions underlying each program, the features of the studies of the programs and the key study findings are included in this synthesis. The five studies analyzed are:

- The Pilot State Dissemination Porject (The Sieber Study)
- Federal Programs Supporting Educational Change (The Rand Study)
- Evaluation of the Field Project Information Packages (The PIP Study)
- Evaluation of the National Diffusion Network (The NDN Study)
- Assistance Strategies of Six Groups that Facilitate Educational Change at the School/Community Level (The TAG Study)

These five studies show both the extent to which intended change is likely to occur and those factors and key conditions which influence the occurrence of change.

Key Points: Large-scale educational change is possible and occurs in an orderly and reasonably predictable (if not yet widely understood) manner.

School staff can and will make use of external sources of knowledge and information and that they perceive such use as leading to improvements in educational practice.

Seed money programs do occasionally stimulate major program improvement, but the process is complex, costly and by no means certain.

School personnel can create operational replications of effective educational products on the basis of descriptive materials alone, but, more importantly, structural replication will not necessarily render the new project effective.

A network of innovation developers and regional facilitators has enormous power in stimulating and effecting wide-scale adoption and implementation of changes.

Meaningful change occurs as a process, not an event.

Directed personal intervention is by far the most potent technical support resource, and may be a necessary condition for directed change.

When some form of direct on-site intervention is employed and keyed to both systemic and personal change processes, then utilization outcomes and change become much more likely.

Active and continuous participation of implementation staff is essential across all stages of the utilization process.

Administrators play a crucial role in setting change priorities, establishing incentives and conditions conducive to utilization and in providing leadership and support throughout the process.

The search for an effective educational change approach is not an either/or proposition; it is a process of tradeoffs carefully evaluated in the selection of the most appropriate approach to support a clearly defined and understood change mission.

Ideas seem to diffuse with relative ease; corresponding use does not necessarily follow.

School systems have been shown to be complex, loosely-coupled institutions with multiple unclear goals.

Recommendations: Identify and gain access to clients by means of the personal referral networks and informal communication channels existing within the client social system.

Target the primary level of entry at the organizational level most proximate to the intended locus of impact.

Make use of change agents, linkers, intermediaries, assistance groups (or whatever their title!) who are most homologous with the target culture.

Ensure that all transactions between the intermediary and the client are coherent and coordinated with the general goals of the program.

Provide opportunities for choice in the content and style of target group involvement.

Focus on a limited number of clients, at least 25 percent fewer than can be "comfortably" accommodated at any one time.

Place early emphasis on the philosophy and ideology of the information, products or services being disseminated.

Anticipate that utilizations involving some form of implementation process will be gradual and cumulative.

A SYNTHESIS OF FINDINGS ACROSS FIVE RECENT STUDIES IN EDUCATIONAL DISSEMINATION AND CHANGE (REVISED EDITION)

John Emrick and Susan Peterson, Far West Laboratory
June 1978

Five major studies are included in this synthesis:

- The Pilot State Dissemination Project (The Sieber Study)
- Federal Programs Supporting Educational Change (The Rand Study)
- Evaluation of the Field Project Information Packages (The PIP Study)
- Evaluation of the National Diffusion Network (The NDN Study)
- Assistance Strategies of Six Groups that Facilitate Educational Change at the School/Community Level (The TAG Study)

Emrick and Peterson describe these five dissemination/utilization programs, the assumptions underlying each program, the features of the studies of the programs and the key study findings. Tables 1, 2, 3 and 4 display this information.

The cross-study synthesis led Emrick and Peterson to conclude that "large-scale directed educational change is possible, and that such change occurs in an orderly and reasonably predictable (if not yet widely understood) manner." Each study focused on somewhat different goals for change and the programs for attaining those goals varied, but all examined the processes and events which might relate to differences in goal attainment. Accordingly, these five studies show both the extent to which intended change is likely to occur and those factors and key conditions which influence the occurrence of change.

Emrick and Peterson in summarizing study findings related to processes and events leading to change, indicate that Sieber's study of the Pilot State Dissemination Project (PSDP) shows that school staff can and will

Table 1

BRIEF DESCRIPTION OF THE DISSEMINATION/UTILIZATION PROGRAMS

PROGRAM	PROGRAM GOALS	PROGRAM STRATEGY: SCOPE AND RESOURCES
Pilot State Dissemination Project	To stimulate increased use of ERIC and other information resources within school systems to develop state capacity and commitment to dissemination of educational programs and policies.	Two-year federal grants to three state education agencies to set up and test dissemination capabilities combining centralized information retrieval facilities with decentralized field agents assigned to specific within-state areas to assist school personnel in requesting and utilizing information resources.
Federal Programs Supporting Educational Change ✓	To stimulate local development and utilization of improved programs and practices in reading (Right-to-Read), career awareness and readiness (Vocational Education, Part D), bilingual education (ESEA, Title VII), and priority areas defined at state and local levels (ESEA, Title III).	Federal "seed money" grants to local education agencies in 50 states: ESEA, Title III -- $150 million/year ESEA, Title VII -- $45-85 million/year Right-to-Read -- $12 million/year Vocational Education, Part D -- $16 million/year
PIP	To provide an effective means for replicating exemplary reading and math compensatory instructional programs in new schools.	Six exemplary projects in reading and math were identified and information packages detailing project materials, scheduling, start-up, and operational requirements were prepared. Nineteen LEAs were awarded "try-out" grants (approximately $100,000 per year each) to replicate the exemplary projects on the basis of the packaged (PIP) materials alone.
NDN	To spread exemplary elementary and secondary educational innovations developed under federal funding (ESEA, Title III; Right-to-Read; Vocational Education, Part D) and validated by the Joint Dissemination Review Panel to new schools nationwide.	Discretionary grants were provided to 72 developers of exemplary (validated) innovations. Average grant size of $75,000 per annum support demonstration sites and related activities. Grants averaging $100,000 per annum were also provided to 66 states and regional intermediaries to facilitate the diffusion and adoption of developer projects. A national "network" was created. Developer projects ranged from basic skills to open education, from early childhood education to high school levels, from physical education to district budgeting, etc.
TAG	To achieve specified educational changes or reforms (idiosyncratic to specific TAGs) by providing direct assistance services to selected local school communities over an extended period of time.	From over 100 Technical Assistance Groups, or TAGs, six successful educational change projects were selected for indepth study to identify the factors relating to their success. No central support agency was involved and each TAG secured support on an ad hoc basis. TAGs differed substantially on their change goals and tactics used. They emerged from traditions of organizational development, alternative education, open education, individualized education, community organization, formative evaluation, and child advocacy.

Table 2

ASSUMPTIONS UNDERLYING DISSEMINATION/UTILIZATION PROGRAMS

PROGRAM	CENTRAL PROBLEM AS DEFINED OR IMPLIED BY THE PROGRAM	NATURE OF CHANGE PROCESS
Pilot State Dissemination Project	Research results and other information constitute potentially valuable resources, but they are underutilized because school system personnel generally lack the motivation and/or skills required to seek and make use of external resources without the assistance of a personal intermediary.	• Articulation of local needs, interests, and priorities, combined with ready access to information resources, will promote information-seeking behavior. • Provision of information that is relevant to local needs and priorities will promote use of improved practices and programs.
Federal Programs Supporting Educational Change	Schools lack the "slack resources" necessary to develop and test new and improved programs and practices in response to priorities defined at the national (Title VII, Right-to-Read, Voc Ed) and state or local (Title III) levels.	• School systems are motivated to conduct extensive searches for appropriate innovations. • School personnel will select programs and practices on the basis of rational considerations; school systems will use evaluations to judge the merits of their new programs. • Effective programs will be continued beyond the withdrawal of federal support, while unsuccessful programs will be discontinued.
PIP	Conventional approaches to dissemination of exemplary projects (e.g., ERIC, technical assistance) are both uncertain in their effectiveness and costly in time and resources.	• Most schools are aware of and eager to replace their ineffective math and reading compensatory education programs. • School staff can assess their needs and interests and can select appropriately from among available "improvements." • Essential features of effective projects can be communicated by written materials. • Staff required to implement the effective project exists within the adopting LEAs. • Replication of the essential features of the project will result in replication of outcomes. • The packaging (PIP) model will become cost-effective in that it will reduce time required to implement the project, as well as the costs and uncertainties of in-person dissemination approaches.
NDN	Because of the large federal investments in the development of exemplary educational innovations, an effective system was needed to improve the diffusion (spread) of these innovations to other schools and communities nationwide.	• Active promotion of validated innovations is needed for widespread adoption. • Adoption is an interactive process involving a progression of adopter stages. • External mediaries can best serve to "broker" innovations to LEAs, matching LEA needs with program offerings. • "Demonstration" is a necessary component to develop adopter interest and to transfer knowledge. • Adaptation is necessary to develop local commitment and ownership. • Materials and technical support are necessary to sustain adoptions. • Secondary diffusion will occur for well-rooted adoptions.
TAG	Rational mechanistic models of the change process were inadequate to a useful understanding of school change and improvement.	• Educational change inevitably entails altering social system aspects of school community. • Change is difficult because school communities are loosely-coupled organizations. • Because of multiple unclear goals, incentives for school staff change are weak. • Personal contact is a key influence in the adoption and implementation process. • Adaptation of innovations to locally perceived needs is crucial. • School communities are interdependent with other social systems. • Where staff continuity from adoption to implementation does not exist, implementation becomes critical.

Table 3

FEATURES OF THE STUDIES OF THE DISSEMINATION/UTILIZATION PROGRAMS

PROGRAM	STUDY GOALS	STUDY SCOPE AND METHODOLOGY
Pilot State Dissemination Project	1. To assess the impact of the PSDP on information-seeking behavior among school personnel. 2. To assess the impact of the PSDP on utilization of information. 3. To identify factors contributing to program impact. 4. To identify problem areas.	Two-year field observation of field agents and retrieval operations in each state; case study and description analysis of data event-linked survey of over 900 clients requesting information (all clients, in targeted and non-targeted areas, requesting information during a five-month period in the second year) focused on status of client, response to information, assistance received from agent or others, review of information request forms associated with clients surveyed to determine nature of request, turnaround time, search(es) conducted, materials provided.
Federal Programs Supporting Educational Change	1. To provide insight into how the process of innovation operates within school systems and into what factors influence this process and its outcomes. 2. To identify and develop policy implications of findings for future federal efforts to promote change in schools.	Multiyear study conducted in two phases, with Phase I focused on issues of initiation and implementation and Phase II focused on incorporation. Phase I included an in-person questionnaire survey of grant recipients at 293 LEAs, followed by indepth studies at 25 LEAs; regression analysis of survey data, coupled with qualitative analysis and synthesis of indepth studies. Phase II included follow-up visits to 100 Title III sites and 11 Title VII sites.
PIP	1. To discover the extent to which PIPs successfully produce replications of the exemplary projects in new sites. 2. To discover and correct deficiencies in the PIP materials. 3. To assess the extent to which replication sites attain the same pupil outcomes as the originating sites report.	Intensive survey of teachers, administrators, parents, and pupils at end of Years 1 and 2. Detailed observation and interviews of staff and project operations (training, start-up, operations) Years 1 and 2. Discrepancy analysis of implementations. Norm-referenced and curriculum-referenced analyses of pupil learning. Qualitative analysis and synthesis of pupil effect; parent, teacher, and administrator survey measures; and case studies.
NDN	1. To provide a comprehensive description of the evolution, organization, objectives, and operating procedures of the NDN. 2. To describe diffusion- and adoption-related processes used by NDN agents and provide insight into how these processes influence adoptions. 3. To evaluate the organizational effectiveness of the NDN and supporting components. 4. To conduct policy analyses on evaluation findings and advance specific recommendations regarding the continuation of the NDN.	Baseline survey of 1,306 client LEAs and an overlapping year-end survey of 1,460 clients to assess initiation, implementation, and continuation processes and events. Extensive survey of all change agents. Case studies of 32 change agents and 35 adopters. Case studies of conferences, training, and teacher assistance components. Multiple regression and qualitative analysis and synthesis of data.
TAG	1. To study the internal functioning of individual TAGs. 2. To study the processes by which individual TAGs provide assistance to clients. 3. To study techniques and circumstances that lead to greater or lesser effectiveness of assistance efforts (emphasis on short-term effectiveness of tactics in particular contexts rather than on inter-TAG comparisons). 4. Comparison of similarities and differences across TAGs on a number of selected areas.	Using a social systems perspective (focus on roles, norms, functional subsystems, routines, decision rules, and standard operating procedures), indepth case studies were conducted over 6-week periods on each TAG. Detailed field notes were organized and analyzed into sets of "research propositions," both for within-TAG and across-TAG issues, which became the base for case study reports and findings of TAG similarities and differences.

Table 4

KEY STUDY FINDINGS

PROGRAM	PROGRAM OUTCOMES AND EFFECTS	EXPLANATION OF EFFECTS
Pilot State Dissemination Project	The PSDP was successful in stimulating information-seeking behavior among LEA personnel. Field agents were uniquely successful in encouraging classroom teachers and others relatively low in the district hierarchy to seek and use external information resources. The majority of requests for information received from practicing educators concerned curriculum and instructional methods.	Attributes that contributed to the success of field agents included: 1) their status as generalists, able to shift roles and willing to respond to a variety of local needs; 2) their position as outsiders to the systems they were attempting to affect; and 3) their lack of power to mandate change. Factors that had both positive and negative consequences for the evolving organizations were: 1) lack of a well-developed model; and 2) organizational dispersion.
Federal Programs Support Educational Change	Federal seed money programs were successful in stimulating initiation of a large number of local efforts consistent with program guidelines, but many programs were not successfully implemented, and only few were sustained beyond the withdrawal of federal "seed money" support.	Success was due to a host of local, rather than program-specific, factors, the most important of which are: 1) problem-solving motivation for initiation; 2) attempt to effect significant changes; 3) strong teacher sense of efficacy; 4) implementation strategy that promotes mutual adaptation of the program and the users; 5) organizational climate receptive to the change being introduced; and 6) high level of local capacity to manage change effort.
PIP	The six Project Information Packages tested were effective devices for communicating management aspects of projects that make use of straightforward commercial materials and instructional techniques. However, structural replication of the management features of an effective project did not guarantee replication of the original instructional program or of the student achievement gains realized at the original site.	The original PIPs lacked extensive curriculum and pedagogical details, which were later supplied in revised PIPs. Yet even with complete information, some in-person interaction (replicators with change agents) was generally needed. Also, staffing is a crucial component in determining project effectiveness.
NDN	During the first two years of operation, well over 2,000 adoptions of NDN innovations were effected. Of these, over 1,000 appeared to be thoroughly implemented and well-rooted within the LEA. Ninety percent of the 1,430 LEAs surveyed reported their adopted innovations address important locally-recognized needs; are effectively satisfying these needs; cost their district (on the average) $2,000 or less; and represent clear improvements over previous educational programs or practices. The NDN approach appears to be highly effective in creating wide-scale LEA awareness, interest, adoption, and subsequent implementation of the innovations being diffused.	Factors accounting for successful adoptions were: 1) thorough, persistent, and well-differentiated awareness activities; 2) early involvement of administrative and instructional decision makers and emphasis on local commitment; 3) extensive use of in-person tactics at all stages of adoption process, including follow-up visits; 4) provision of comprehensive and well-developed materials to support adoptions; 5) personal dynamics of the Developer and management skills of the Facilitator; 6) emphasis on practitioner change, phase-in of implementation and low reliance on expensive resources; and 7) support of LEA visits to demonstration sites. Adoption patterns appeared reasonably uniform by innovation type and geographic area, but disproportionate in terms of school level and district urbanism. Much of the overall NDN success is attributed to effort and enthusiasm of participating change agents.
TAG	Main findings are that successful TAGs: 1) consist of small, cohesive staff; 2) developed stylized approaches on trial-and-error basis over a period of years (generally 6 or more); 3) interact with schools as social systems; 4) develop and make use of extensive materials; 5) learn and make use of client language when providing assistance; 6) continually revise and adapt their assistance tactics on the basis of experience. Staff roles and functions are clarified and codified. New staff are selected and socialized into the TAG, generally requiring 2-3 years.	TAG success is explained in terms of four dimensions of activities: 1) external organization and leadership; 2) effectiveness in attracting and maintaining funds and operating resources; 3) the development and refinement of assistance strategies and tactics; 4) the implementation and adaptation of assistance components to specifics of the client context. The dominant factor, however, is the continuous in-person interaction of TAGs with clients over extended periods of time.

make use of external sources of knowledge and information and that they perceive such use as leading to improvements in educational practice. The Federal Change Agent study by Berman and McLaughlin shows that seed money programs do occasionally stimulate major program improvement, but that the process is complex, costly, and by no means certain. The SRI/RMC study of the PIP field test shows that school personnel can in fact create operational replications of effective educational projects on the basis of descriptive materials alone, but, more importantly, that structural replication will not necessarily render the new project effective. The NDN will not necessarily render the new project effective. The NDN study shows the enormous power a network of innovation developers and regional facilitators have in stimulating and effecting wide-scale adoption and implementation of changes. Finally, the TAG study shows that a number of basic properties characterize successful change agent operations, regardless of differences in change goals.

All five programs studied were based on the assumption that external intervention of some sort is needed to accelerate and/or direct the change process. Although no intervention strategy was found to be foolproof, each was found to have some success.

In their analysis of the five studies, Emrick and Peterson focus on strong-inference syntheses--those for which findings from most or all the studies concur. They also discuss issues for which findings conflict and examine the sources of apparent conflicts across the studies. Resolutions are suggested. In addition, action implications in terms of guidelines for an effective approach to facilitate knowledge utilization/change are discussed.

Findings

1. Meaningful change occurs as a process, not an event. Two separate but parallel dimensions to the change process were identified from study findings:

- A personal dimension which involves the change processes occurring within individuals (cognitive, behavioral, affective) as they acquire and make use of new knowledge
- A systemic dimension which involves the concomitant changes occurring in the user environment (organizational, social, political)

A third dimension was identified which serves to guide and facilitate the utilization process--technical support. This dimension consists of the information, materials, resources and people (linkers, change agents, intermediaries, technical assistance groups, etc.) that are external to the user environment but which are involved in the change process.

The five studies differed primarily in the technical support dimension; all employed a process view of utilization and change (as opposed to the more common input-output methodologies characteristic of many federally supported evaluations). Because of this, Emrick and Peterson found compelling evidence that educational utilization and change is a gradual, complex, multiple-determined process. They suggest that the failure of a large number of centrally sponsored educational and social reform programs occurred because utilization and change were too often viewed as events rather than processes.

2. Directed personal intervention is by far the most potent technical support resource, and may be a necessary condition for directed change. To the extent the goal of a dissemination program is to produce some utilization and change in local school systems, it appears quite clear that some amount of in-person mediation will be needed.

Consistent evidence across studies led to the conclusion that personal involvement of intermediaries help to secure broad-scale utilization of new educational knowledge and practice. Conversely, appropriate utilization occurs haphazardly in the absence of intermediaries to stimulate and guide it.

Emrick and Peterson identify three other potential generalizations for which further study, clarification and validation are suggested:

a. Direct personal intervention serves to initiate the utilization process, to link users to the most appropriate new knowledge and products, and to guide and reassure users at key points in the utilization process.

b. Direct intervention should be distributed over a considerable period of time (two or more years), with more frequent contacts during initial stages. Contacts should focus on key administrative and instructional opinion leaders (possibly including community representatives and board members).

c. On-site assistance invariably involves more than communicating the technical and procedural details regarding the use of new knowledge and practices.

3. Continuous personal participation of the implementing staff is needed to firmly root and sustain the utilization. The notion that schools operate as tightly structured hierarchical organizations has been fairly well disconfirmed by a number of studies, yet a disregard for this reality continues in state and federal policy regarding school improvement and reform.

Schools operate as loosely coupled social bureaucracies whose modus operandi is "status quo" unless externally imposed incentives and resources impinge on them.

In view of this, what accounts for the apparent success of the change programs reviewed by this synthesis?

Three generalizations hold up across the studies:

a. When some form of direct on-site intervention is employed

b. When the external intervention is keyed to both systemic and personal change processes, then utilization outcomes and change become much more likely

c. Active and continuous participation of implementation staff is essential across all stages of the utilization process

4. Administrators occupy a crucial role in supporting the utilization process. All of the studies in the synthesis point to the crucial role that administrators play in setting change priorities, establishing incentives and conditions conducive to utilization, and providing leadership and support throughout the process.

A corollary is suggested by some of the studies: implementing staff must perceive and share administrative interest in the utilization. Basically, utilization occurs when the involved staff perceive such utilization to be in their interest and in the interest of relevant leadership and authority figures (significant others in their environment).

5. Material resources at the "how to" level are needed, particularly for utilizations involving organizational or instructional changes. Emrick and Peterson describe three categories of information resources: descriptive, instructional and support materials.

Descriptive materials communicate what the new knowledge, product, or practice is and how it can be used. The provision of descriptive materials does not by itself usually produce intended utilizations, although there is some evidence that descriptive materials alone may serve to initiate utilization efforts. However, some descriptive materials may be necessary to support the utilization process; efforts to produce change solely through in-person methods have had limited and uncertain consequences.

Instructional materials are those workbooks, texts, study units, audiovisual sequences and other central elements of the curriculum which make up the content of education. Evidence is mixed regarding the need for and the effects of provision of such instructional materials in dissemination utilization programs.

Support materials are those various technological and audio/visual/ tactile components which occupy a background or support role in the utilization and which are neither central to the innovation nor essential to the utilization process. The need for or effectiveness of such materials is unclear in the studies.

Further Issues in Dissemination and Change

Findings across the five studies indicated the existence of several additional issues related to further understanding of the dissemination-utilization process.

1. Comparison of models. The collection of studies covered three general models of utilization assistance or linkage:

   a. Direct intervention, based on the extension agent model (PSDP, PIP, TAG)

   b. Capacity building, based on the seed money model (Federal Programs Supporting Education Change--Rand study)

   c. Networking (or brokering), based on the configurational model (NDN)

Emrick and Peterson point out that a great deal of overlap exists among these designs at the operational level, yet, outcomes are consistent with design features of the general approach. This has important implications for those involved in the planning and implementation of change programs. The search for an effective educational change approach is not an either/or proposition; it is a process of tradeoffs carefully evaluated in in the selection of the most appropriate approach to support a clearly defined and understood change mission.

2. Secondary spread of utilization within and across users. This concept has been referred to as a ripple effect. Findings are inconsistent across the three studies which investigated this issue, but do indicate

that ripple effects tend to occur at initiation stages and are less pronounced at implementation stages. Ideas seem to diffuse with relative ease; corresponding use does not necessarily follow.

3. Knowledge-use relationships. A direct implication of the previous issue is that knowledge is probably not a sufficient condition for use. Evidence from the five studies suggests that dissemination systems designed around the notion that schools behave as rational information-seeking consumers will have a very limited success. Through these studies, school systems have been shown to be complex, loosely-coupled institutions with multiple unclear goals.

Yet, it appears that schools are amenable to improvement-oriented change seen as consistent with perceived needs and priorities. A linker or change agent apparently serves first and foremost to stimulate or clarify locally-perceived needs and priorities and to direct staff attention to available information, products and resources relevant to these local needs and priorities. Because these activities involve complex interpersonal transactions, it follows that human relations skills will become of major importance.

4. Change agent skills. Emrick and Peterson question whether, at this point, an effective general program for training linkers or change agents can be specified with any precision. Several implications for the development of effective change agents can, however, be derived from the five studies. First, at least two categories of skills seem to be involved, human relations and technical knowledge. Secondly, it appears that the development of these capabilities is accomplished more through staff selection, experience and socialization processes than through formal training procedures. In addition, the development and refinement of these effective change agent skills requires a great deal of time, often many years.

5. Criterion problems. There are several problems associated with defining what constitutes utilization. There are inherent contradictions between adaptation versus the integrity of the knowledge--what limits can or should be imposed on the adaptation process? What standards or restrictions, if any, should be imposed on the collection of ideas, products or practices being disseminated? How can intangibles such as the quality and complexity of change be documented and evaluated? Recent studies such as those analyzed in this synthesis have served to underscore the true complexity of the change process.

Guidelines for an Effective Dissemination/Utilization Program

The review of the five studies has led to the identification by the authors of several components which characterize successful approaches to dissemination and change. Some of these components have been rather carefully investigated; other components included below are propositions for further investigation.

1. Identify and gain access to clients by means of the personal referral networks and information communication channels existing within the client social system.
2. Use in-person (preferably face-to-face) communications, with accompanying "hard copy" materials.
3. Attend to and differentiate the organizational/bureaucratic nature of the client (school) systems.
4. Target the primary level of entry at the organizational level most proximate to the intended locus of impact.
5. Provide for and secure prior informed concurrence of all administrative levels above the level of primary interface.
6. Make use of change agents, linkers, intermediaries, assistance groups (or whatever their title!) who are most like the target subculture.
7. Ensure that all transactions between the intermediary and the client are coherent and coordinated with the general goals of the dissemination program.

8. Provide opportunities for choice in the content and style of target group involvement.

9. Focus on a limited number of clients, at least 25 percent fewer than can be "comfortably" accommodated at any one time.

10. Place early emphasis on the philosophy and ideology of the information, products or services being disseminated.

11. Make early use of concrete experiences, assignments, materials and utilization-relevant activities.

12. Provide repeated in-person transactions with the client staff.

13. Anticipate that utilizations involving some form of implementation process will be gradual and cumulative.

Title: An Assessment of Current and Potential Capacity of Schools of Education with Recommendations for Federal Support Strategies

Author: Linda S. Lotto and David L. Clark
Far West Laboratory, June, 1978

Theme: This paper highlights the current and potentially expanded role of schools, colleges and university departments of education (SCDEs) in dissemination and points out some of the factors which tend to interfere with SCDEs taking an active and creative role in such efforts. The emphasis is upon one educational agency (the SCDE) and its relationship to effective dissemination and utilization. The authors are committed to the proposition that an effective dissemination and utilization (D&U) system will emerge only if all the operating agencies in education (state education agencies, local education agencies, intermediate service agencies, labs and centers) become involved in D&U activities and are supported in those efforts by a progressive federal policy in this field.

Key Points: Masters level SCDEs are as likely sites as doctoral institutions for D&U intervention.

Public SCDEs avow mission emphases in D&U in much larger numbers than do their private counterparts.

SCDE faculty generally do use some portion of their time in D&U activities, although much is on a private consultative basis. The data suggest that the impact of SCDEs and faculty on knowledge utilization in education has been underestimated.

There are extant D&U resources and capacity in schools of education in the form of: institutional capacity; center and bureau capacity; and individual (faculty) capacity.

Efforts to work with and improve schools is a phenomenon characteristic of public rather than private SCDEs.

If SCDEs are not involved in the development of a national program of D&U for education, the consequence for a large percentage of schools of education will be a mission or program change as dramatic as if they were cut off from their traditional institutional roles in personnel preparation or educational R&D. The conception of schools of education as agencies cut off from practice and practitioners is a myth.

Among competing educational agencies SCDEs have more flexibility in responding to new programs than, for example, LEAs or SEAs because of their tradition of released time to faculty for non-teaching activities.

The freedom of individual choice on the part of SCDE personnel increases flexibility in response but impedes institutional commitment to goal and activity areas.

Organizations in recession (as SCDEs are) have special difficulties in responding to needed qualitative changes in, or expansions of, their services.

Schools of education are already operating networks, and have faculty involved as consultants and specialists in non-SCDE networks.

Recommendations: SCDEs should be included as agencies which are eligible to compete for capacity building grants in D&U.

In planning for a program of network support grants for SCDEs, a first step should be the establishment of "network evaluation grants" to assess the effectiveness of intact networks involving SCDEs, LEAs and other educational agencies.

A new program of grants should be initiated to provide for the support of networks operated by SCDEs.

An NDN-like grants program should be initiated which is designed to support the dissemination and institutionalization of innovations in teacher education within SCDEs.

An exploratory design program, and a matching grants program for operations, should be initiated in a few selected states to experiment with the use of SCDE faculty as linking or extension agents to LEAs.

Schools of education should be included as a major participating agency in any national program of comprehensive dissemination system grants.

AN ASSESSMENT OF CURRENT AND POTENTIAL CAPACITY IN SCHOOLS OF EDUCATION WITH RECOMMENDATIONS FOR FEDERAL SUPPORT STRATEGIES

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This paper highlights the current and potentially expanded role of schools, colleges and university departments of education (SCDEs) in dissemination and points out some of the factors which tend to interfere with SCDEs taking an active and creative role in such efforts.

The analysis of present and potential capacity of schools, colleges and departments of education for involvement in educational dissemination and utilization (D&U) was based on re-examination of data gathered during 1974-1976 by David Clark and Egon Guba for an NIE-sponsored study, Research on Institutions of Teacher Education (RITE). The RITE study produced some information on SCDE involvement in D&U, but the emphasis was clearly on knowledge production (research) rather than on knowledge dissemination and utilization. Lotto and Clark adapted a technique employed in the RITE study to analyze the impact of four sets of variables on the future involvement of SCDEs in D&U:

- Current SCDE programs and resources in D&U
- Feasible federal interventions
- Contextual factors of SCDEs
- External impact factors other than federal interventions in D&U which are relevant to SCDE features

CURRENT INVOLVEMENT OF SCHOOLS OF EDUCATION IN EDUCATIONAL KNOWLEDGE DISSEMINATION AND UTILIZATION

Ninety-two masters level and doctoral SCDEs were assessed with regard to:

1. The mission or goal emphasis of the SCDE in D&U
2. The organizational arrangements made by the SCDE in support of D&U
3. Evidence of faculty involvement with activities or processes associated with D&U
4. The resultant products of D&U activity in the SCDE as determined by examining national outlets for such products

In each instance a projection was made from the sample to the population of 671 SCDEs.

Institutional mission information was obtained from three sources:

- A formal document or mission statement for the SCDE
- The SCDE chief administrator's perception of the emphasis placed upon a variety of dissemination and utilization activity areas by the SCDE
- Faculty perceptions of the importance of D&U activity areas to the SCDE mission

Based on mission analysis alone, the authors would answer the question about SCDE commitment to D&U as follows:

- As a total group, doctoral and masters level SCDEs are not committed to D&U activity.
- However, significantly large sub-groups of SCDEs are committed to D&U; probably 321 of the sites would be likely sites for D&U activities and/or programs.
- Degree level and involvement in R&D productivity are poor predictors of mission emphasis in D&U. If one were searching for likely sites for D&U intervention on the basis of stated and perceived missions, masters level SCDEs are as likely sites as doctoral institutions.
- Locus of control is a predictor of mission commitment in D&U. Public SCDEs avow mission emphases in D&U in much larger numbers than their private counterparts.

Organizational arrangements employed by SCDEs to support dissemination and utilization missions include:

- Formal structures maintained by the organization (e.g., field service bureaus or institutes, school study councils, etc.).
- Personnel practices and policies designed to reinforce particular activities or productivity on the part of the faculty (e.g., promotion, tenure and recruitment criteria).

Institutional questionnaire responses and, in many cases, descriptive brochures and pamphlets were available on the formal structures. Evidence on personnel practices and policies included formal statements of criteria used in promotion and tenure decisions, the SCDE chief administrator's perception of the emphasis placed on D&U in recruitment, promotion and tenure, and perceptions held by the faculty of the importance of D&U in promotion and tenure decisions.

The authors report a "yes-no" answer; about a third of the SCDEs seem to have arrangements which are highly supportive of D&U activity. An almost equal number do not. Lotto and Clark suggest that organizational capacity and resources for D&U do exist in SCDEs which should be utilized in national planning for D&U in education.

Evidence of faculty involvement in D&U activities was obtained from self-reports by faculty on their involvement in four types of activities:

1. Publishing in practitioner-oriented journals
2. Serving in an editorial capacity on such journals
3. Making presentations at practitioner-oriented conferences
4. Rendering *ad hoc* services to schools

SCDE deans or chairpersons also reported on the frequency of requests for service from local education agencies.

The authors report that SCDE faculty generally do use some portion of their time in D&U activities. Their involvement in *ad hoc* service relationships with schools appears to be conducted primarily on a private consultative basis rather than on an institutional basis, however. On the other hand, Lotto and Clark suggest that the simple fact of their involvement is a positive feature in linking the knowledge base with the practitioner. These data suggest that the impact of SCDEs and faculty on knowledge utilization in education has been underestimated.

Measures of SCDE productivity in D&U drawn from the RITE study data include the number of:

1. Articles in 13 practitioner-oriented journals
2. Practitioner-oriented presentations at six national conferences
3. Contributions to the RIE portion of the ERIC system which were judged to be directed toward the community of practice rather than the research community

The authors indicate that sufficient data are not available to assess SCDE productivity in D&U; measures are skewed toward SCDEs in which the sphere of influence is national rather than regional, state or local and in which faculty are attuned to scholarly productivity. However, data did indicate that faculty in approximately 250 SCDEs are significant producers of D&U artifacts being distributed to practitioners and are conduits for the distribution of this material.

Current Involvement of SCDEs in D&U

Lotto and Clark report several generalizations about SCDE activity in D&U.

1. There are extant D&U resources and capacity in schools of education. These resources assume three forms, each of which is significant for national planning for expanded or improved D&U.
    a. Institutional capacity
    b. Center and Bureau capacity
    c. Individual (faculty) capacity

2. Efforts to work with and improve schools is a phenomenon characteristic of public rather than private SCDEs.

3. Doctoral public SCDEs are almost all involved in D&U programs; masters level public SCDEs are also a rich resource of talent and institutional support in educational D&U.

4. The conception of schools of education as agencies cut off from practice and practitioners is a myth.

Contextual Factors Influencing Schools of Education

Lotto and Clark pose a set of generalizations in regard to contextual factors and their impact on the likely involvement of SCDEs in D&U programs:

1. Despite observations to the contrary, SCDEs have exhibited vulnerability to external impact factors and pressures for change. Mission over-reach is a more significant problem for SCDEs than rigid or constrained missions.

2. SCDE budgets are tied more tightly to their line function of teaching than most observers have noted. However, among competing educational agencies they have more flexibility in responding to new programs than, for example, LEAs or SEAs because of their tradition of released time to faculty for non-teaching activities.

3. The status of faculty activities and the SCDE reward system, especially in doctoral institutions, is weighted toward research and scholarly productivity.

4. Freedom of individual choice on the part of SCDE personnel increases flexibility in response but impeded institutional commitment to goal and activity areas.

Generalizations about external factors which have implications for SCDE involvement in D&U programs:

1. The continuing "recession" being experienced by SCDEs in numbers of students, faculty and fiscal resources will create an environment of responsiveness to external interventions which have any tendency to offset the recession. SCDEs will be relatively easy targets for external change agents interested in expanding or improving D&U programs.

2. Schools of education are an "old line" agency in education receiving more than their share of criticism for past and current performance in conventional function areas. Directing emphasis toward SCDEs as a major D&U agency is likely to be met with skepticism by necessary reference groups (i.e., legislators, administrators, teachers).

3. SEAs, LEAs and the organized teaching profession have been engaged in a struggle to wrest what many of them would consider undue power, emphasis and concentration of federal funds from SCDEs. They may be reluctant to support D&U programs over-emphasizing this agency.

4. Newer definitions and concepts of D&U will require responses beyond the extant D&U programs of SCDEs (e.g., field service bureau, ad hoc service, school study councils). Organizations in recession have special difficulties in responding to needed qualitative changes in, or expansions of, their services.

RECOMMENDATIONS FOR FEDERAL INTERVENTION STRATEGIES TO SUPPORT DISSEMINATION AND UTILIZATION PROGRAMS IN SCHOOLS OF EDUCATION

Four federal intervention strategies in dissemination and utilization and their potential impact on schools of education were analyzed. The four intervention strategies are:

1. Training for D&U roles
2. Capacity building grants in D&U
3. Organizational networks for D&U
4. The establishment of a comprehensive dissemination system

Recommendations for D&U Training Program Grants to SCDEs

The purpose of a training program intervention strategy is to improve and expand activity in a field by increasing the number of trained personnel in that field. Although establishing and operating educational personnel training programs taps an obvious SCDE strength, Lotto and Clark indicate some unique obstacles to effective training for D&U in education:

1. Neither SCDEs nor any other agency is currently involved in training for such roles.
2. The roles are ill-defined.
3. The training requirements are obscure.
4. The organizational context in which the role will be performed is variable.

They recommend, therefore, that:

1. The initial emphasis for SCDEs in D&U training should be placed on program development grants rather than operating grants. The product of this phase of support should be the generation of model programs which specify roles, training requirements for roles, and training components or interventions appropriate to the requirements.
2. The press in educational D&U which is likely to generate the greatest demand for personnel is the use of some form of personal linking agent in D&U systems; therefore, a major thrust in both program development grants and, subsequently, training grants should be placed upon training for linking agent roles.
3. The design of a training support program for D&U in SCDEs should reflect a comprehensive view of both training needs and trainers.
4. The training support program should include provisions for post-doctoral training, but the emphasis in the post-doctoral fellowships should be on the training of trainers.

Recommendations for Capacity Building Grants to SCDEs

A capacity building intervention strategy is designed to establish, increase or improve institutional capacity to perform in a specified function area. While Lotto and Clark feel that a more targeted approach to D&U support would carry more impact, they do have recommendations regarding the use of a capacity building intervention with SCDEs.

1. If capacity building is to continue to be used as an approach, it should not be restricted to a single agency.
2. SCDEs should be included as agencies which are eligible to compete for capacity building grants in D&U.
3. A capacity building grant program for SCDEs should include:
    a. grants to SCDEs in which D&U capacity is already well-established, and
    b. grants to developing institutions (SCDEs) which might be encouraged to expand or improve their D&U capacity
4. The concept of capacity building could easily be extended to include the encouragement of intra-school and inter-SCDE collegial groups for sharing data and experiences and offering support to professionals working in relatively uncharted waters.

Recommendations for Networking Grants to SCDEs

An organizational network intervention is the creation or support of linkages among operating agencies to foster a mutual function of the agencies. In the case of D&U the involved agencies usually include disseminators and users of knowledge and the shared function is two-way communication about, or support of, the installation and institutionalization of knowledge-based alternative practices in schools.

Lotto and Clark recommend that:

1. In planning for a program of network support grants for SCDEs, a first step should be the establishment of "network evaluation grants" to assess the effectiveness of intact networks involving SCDEs, LEAs and other educational agencies.
2. Explicit attention should be given by such federal programs as NDN and RDU to creating a mutually satisfactory mode of involvement by SCDEs in already operating networks.
3. A new program of grants should be initiated to provide for the support of networks operated by SCDEs.
4. Many SCDEs are predominantly potential adopters playing an almost exclusively practitioner role. The extent to which they are open, and can become committed, to individual innovations will determine likely improvement in the education of teachers. Lotto and Clark therefore recommend that an NDN-like grants program be initiated which is designed to support the dissemination and institutionalization of innovations in teacher education with SCDEs.
5. An exploratory design program, and a matching grants program for operations, be initiated in a few selected states to experiment with the use of SCDE faculty as linking or extension agents to LEAs.

Recommendations for Comprehensive Dissemination System Grants to SCDEs

A comprehensive dissemination system is a (federally sponsored) effort to create a set of interlocking relationships between the researcher and the practitioner in education organized on a national scale. The purpose of such a program is to insure that the practitioner has access to and uses the contemporary knowledge base in solving operating problems and improving practice. If the federal government elects to initiate grants to support a more comprehensive dissemination system in education, Lotto and Clark recommend that:

1. Schools of education be included as a major participating agency in any national program of comprehensive dissemination system grants.

2. The maturity of D&U systems in education varies markedly by state. This variation should be reflected in designing and planning for the operation of a comprehensive dissemination system and, consequently, the specific role of SCDEs in the system should vary based upon SCDE and state characteristics.

Lotto and Clark state that little is known, except at a gross descriptive level, about the total D&U system variances by state. Social system and information flow descriptions of intra-state D&U activity will be needed prior to initiation of a national comprehensive dissemination system. In order to add to what must be known about state-based comprehensive dissemination systems, the authors recommend that:

3. A competitive grants program be initiated to design several state-based comprehensive dissemination systems in states with varying levels of current capacity in dissemination; and that, as soon as feasible, experimentation with and evaluation of a small number of planned variations in comprehensive dissemination system programs be established in selected states.

CONCLUSION

An effective and powerful D&U system will cost money. The choice of whether or not to make the level of investment required by such a system will come down finally to a judgement of the necessity of the system in effecting school improvement. The judgement of Lotto and Clark is that it is necessary and, further, that the necessity of an effective D&U system to education is a position being assumed by an increasing number of national-level educational planners in the legislative and executive branches of government and in practitioner-oriented professional associations.

These assumptions lead Lotto and Clark to conclude that it would not be unreasonable to expect that initial steps toward the recommendations made in their paper could be made in the near future. At this point in the development of more effective D&U systems in education, the authors would argue that a beginning which involves SCDEs in federal D&U strategy is a worthwhile end in itself.

Title: Education Service Agencies: Status and Trends (Draft)

Authors: Robert E. Stephens, Grace Bensimon, Tony McAdoo, Noble Gividen, Stephens Associates, Inc. June 1979

Theme: Selected characteristics of thirty-one educational service agency networks (geographically defined networks) and the individual educational service agency (ESA) units comprising these networks were analyzed in this exploratory study.

Key Points: Three categories of educational service agencies were identified:

Type A: Special District ESA - a legally constituted school government sitting between the state education agency (SEA) and a collection of local education agencies.

Type B: Regionalized SEA/ESA - a regional branch of the state education agency.

Type C: Cooperative ESA - a loose consortium of local education agencies.

A significant number of education service agencies were in operation at the time of the study (1977-78). It would appear from this that regional developments in education at least parallel those in many other public service fields.

Federal incentives for collaborative action have been significant in both the establishment and maintenance of educational service agencies.

The initial primary mission of all three types of networks typically relates to the goal of improving the quality of education generally, or improving the quality of specific programming for special target populations.

Direct involvement of the public appears to be limited for all three types of ESA networks.

Most networks function under carefully prescribed plans and procedures that are either shared with external sources or largely determined by other agencies. Therefore, processes for external intervention in the workings of the networks appear to be well in place.

Federal involvement (response to federal requirement, response to federal initiative, federal funding) appears to be critical for all three types of networks.

A majority of the special district networks appear to be making contributions to the improvement of educational practice at the public local educational agency (LEA) level. The role of regionalized SEA/ESAs is less extensive but still important. Contributions of cooperative ESA systems is significant but generally more selective.

The special district ESA networks are viewed as having a relatively large number of major strengths, especially in the relative definiteness of their fiscal support base and the comprehensiveness of their programs, services and staffs.

The principal strengths of the regionalized SEA/ESA networks center on their relatively structured organizational features and the relatively definite source of fiscal support. The major weakness in state systems of this type appears to be their limited ability to improve educational practice at the public LEA level.

The major strength of the cooperative ESA networks is the relatively extensive involvement of member public LEAs in the workings of the system. The large number of perceived weaknesses center around lack of organizational stability, the lack of definite funding sources and limitations in their program and services.

Educational service agencies appear to be complex organizations having few counterparts in elementary-secondary education.

Recommendations:

Detailed analysis of types of education service agencies is an appropriate concern of high interest to local, state and federal policy planners and decision makers and to the public.

A meaningful taxonomy of characteristics is an essential prerequisite to efforts to design evaluation strategies for analyzing types of education service agencies.

EDUCATION SERVICE AGENCIES: STATUS AND TRENDS (DRAFT)

Robert E. Stephens, Grace Bensimon, Tony McAdoo,
Noble Gividen, Stephens Associates, Inc. June 1979

This exploratory study analyzed selected characteristics of thirty-one educational service agency (ESA) networks, and the individual ESA units comprising these networks, in twenty-six states.

ESA networks were categorized into three types:

Type A. Special District ESA

A legally constituted unit of school government sitting between the state education agency (SEA) and a collection of local education agencies (LEAs). This pattern appears to be supported by the view that ESAs should be established by the state (or the state and local education agencies acting in concert) to provide services to both the SEA and constituent LEAs. Dominant characteristics appear to be:

1. The legal framework tends to be structured in legislation and/or SEA regulations
2. Governance tends to be under lay control
3. Programs and services tend to be a mix of services for members LEAs and the SEA
4. Fiscal support tends to be a mix of local, regional, state and state/federal

Type B: Regionalized SEA/ESA

A regional branch of the state education agency. This pattern appears to be supported by the view that ESAs should be established as arms of the state to deliver services for the state education agency. Dominant characteristics appear to be:

1. The legal framework tends to be structured in SEA regulations only
2. Governance tends to be by professional advisory only

3. Programs and services are determined almost exclusively by the SEA

4. Fiscal support is almost exclusively state and/or state/federal

Regionalized SEA/ESAs can be further subdivided into: those providing administrative services only; those providing general services only; and those providing both administrative and general services.

Type C: Cooperative ESA

A loose consortium of local education agencies. This pattern appears to be supported by the view that ESAs should be established by two or more local education agencies to provide services exclusively to members of the cooperative. Dominant characteristics appear to be:

1. The legal framework tends to be general (e.g., intergovernmental relations statutes)
2. Governance tends to be composed of representatives of member LEAs
3. Programs and services are almost exclusively determined by member LEAs
4. Fiscal support tends to be almost exclusively local and state/federal

These units are further subdivided into: those that were multi-purpose (five or more services); those that were limited-purpose (not more than four services); those that were single-purpose.

Selected Establishment Characteristics

The study reports the following observations concerning establishment characteristics of the three types of ESA networks:

1. A significant number of education service agencies (619) were in operation in 1977-78 in the twenty-six states included in the investigation; these were drawn from a larger number (969 individual units; 35 networks) reported to be in existence. It would appear from this that regional developments in education at least parallel those in many other public service fields.
2. The establishment of ESAs is both an extensive and relatively recent trend. A majority of the networks were established in the past fifteen years.

3. It would appear that the widespread interest in ESAs tends to parallel one or more of the following widely recognized and well documented developments in education:

    a. A growing recognition of the inability of many LEAs to respond to new priorities

    b. A growing recognition of the limitations of reorganizing small LEAs into larger administrative districts

    c. A growing recognition of the limitations of many of the previous middle echelon units, the traditional county school system

    d. A growing awareness of both the responsibility and the potential of a more active role by the state education agency in improving the state system of elementary-secondary education

4. Traditional state-local relations appear to have been an important consideration influencing the type of ESA network functioning in a state school system.

5. The size of enrollment of public LEAs does not appear to account for membership status in an ESA. A surprising observation is the relatively extensive nonmember status of small LEAs (less than 300 students), one of the assumed prime benefactors of ESAs.

6. It would appear that federal incentives for collaborative action by groups of LEAs were significant in establishing precedents for the creation of a number of cooperative ESA networks. Federal incentives were also apparently significant in both establishing and maintaining regionalized SEA/ESA systems, and in maintaining a number of special district networks.

7. Enabling legislation was the primary vehicle used to establish a substantial majority of ESA networks.

8. All regionalized SEA/ESAs and a substantial majority of special district ESA networks were products of a state planning document; only a simple majority of cooperative ESAs were.

9. The initial primary mission of all three types of networks typically relates to the goal of improving the quality of education generally, or improving the quality of specific programming for special target populations.

10. A surprising number of states apparently do not have provisions in place for creating new or adding to the existing number of ESA units, but a majority of the networks are governed by provisions for altering the boundaries of existing units.

Selected Characteristics of SEA-ESA Relations

Observations concerning the relations between the three types of ESA networks and state education agencies include:

1. The presence of a single unit in the state education agency having primary responsibility for relations with the ESA network may be a reflection of the perceived need to improve coordination between the agency and the service units, many of whom are deeply involved in program areas that cut across a large number of components of the state units.
2. A majority of the SEA units responsible for coordinating ESA contacts and functions with other SEA units (and other state-level agencies) were apparently created principally for improvement of coordination.
3. Special district networks and to a lesser extent, regionalized SEA/ESA networks were involved in the planning, implementation or evaluation of state regulations governing one or more aspects of LEA operations. Only a few of the cooperative systems participate in this activity.
4. The relatively extensive involvement of ESA networks of all types in the less threatening phases of the state regulatory system may be a reflection of the awareness by state planners of the coordinating potential of a service unit.
5. Where state requirements for multi-ESA activities exist, they tend to be present in program areas requiring: a) relatively extensive resources to launch/maintain a program, b) a relatively high degree of specialization of staff and/or equipment, c) efforts aimed at special populations not ordinarily highly concentrated in many regions of a state.
6. The use of state-developed criteria for assigning functions to the ESA networks occurs only in a majority of the special district systems. Criteria tend to be limited to an enumeration of specific program areas that an ESA shall or can provide.

The level of state involvement in the areas of establishment, finance, governing boards and physical facilities appears to reflect a close monitoring of activities that relate directly to the legal structure of the networks and to the fiscal operations of the systems. Service agencies appear to have a degree of discretionary authority regarding a number of aspects of their internal management and operations. A rough balance between the interests of the state and that of the service unit appears to be in place, apparently patterned along the lines of the traditional state-LEA balance characteristic of many state school systems.

Type of ESA Network and Nature and Extent of Direct Public Involvement

Direct involvement of the public in the workings of ESAs appears to be limited for all three types, especially in regard to the critical areas of:

- voter elections of members of ESA governing boards
- representation and ESA advisory committees
- voter approval of the budget of an ESA
- involvement in program planning

Type of ESA Network and Nature and Extent of Political/Administrative, Program, and Financial Accountability

Few of the networks, regardless of type, enjoy a large degree of autonomy in policy making. While the quality and effectiveness of external interventions in the workings of ESAs is not known, it would appear that most networks function under carefully prescribed plans and procedures that are either shared with external sources or largely determined by other agencies. Processes for external intervention in the workings of the networks appear to be well in place.

Type of ESA Network and Nature and Extent of Federal Involvement

Federal involvement appears to be critical for all three types of networks. That is, the majority of the individual state systems of each type have established one or more advisory bodies in response to federal requirements, a majority of each type offer programs and services in response to federal initiatives, and, a majority are recipients of federal funding of one or more of their programs.

Type of ESA Network and Perceived Contributions to Major Universal Priorities of State Systems of Education

Both special district and regionalized networks appear to be making contributions to:

- improved state-local partnership through facilitation of the establishment of platforms for the resolutions of state-substate-local interests
- the establishment and maintenance of a statewide dissemination capability
- the establishment and maintenance of a state-wide communication capability

The role of cooperative networks appears to be constrained for three reasons:

- most of the networks are not statewide in scope
- public LEA membership requirements are permissive in most state systems
- programs and staff of many of the networks are not comprehensive

Type of ESA Network and Perceived Contributions to Improvement of Educational Practice at Public LEA Level

A majority of the special district networks appear to be making contributions to the improvement of educational practice at the public LEA level. The role of a majority of regionalized SEA/ESAs appears to be less extensive but still important, especially with regard to improved administrative practice. The perceived contributions of a majority of cooperative ESA systems to improved practice in the local agencies served by the collaborative is also significant but generally more selective.

Major Perceived Strengths and Weaknesses of the Three Types of Networks

The special district ESA networks, when considered as a group, are viewed as having a relatively large number of major strengths and only a few perceived weaknesses. The major strengths of a majority of state systems of this type center on the relative definiteness of their fiscal support base, and the comprehensiveness of their programs, services and staffs. The major weakness of the majority of state systems would appear to be the large number of individual units in many of the systems.

The regionalized SEA/ESA networks are also viewed as having a number of major strengths. The principal strengths of a majority of the state systems of this type center on their relatively structured organizational features and the relatively definite source of fiscal support. The major weakness of the majority of state systems of this type appears to be their limited ability to improve educational practice at the public LEA level.

The major perceived strength of the cooperative ESA networks would appear to be the relatively extensive involvement of member public LEAs in the workings of a majority of state systems of this type. The large number of perceived weaknesses of a majority of these state systems center around their lack of organizational stability, the lack of definite funding sources and limitations in their program and services.

Utility of Measures in Study to Distinguish Types of ESA Networks

One hundred key characteristics used in the study were examined in order to identify which of those variables might be useful for further taxonomic efforts. The achievement of a meaningful taxonomy is held to be a critical prerequisite to efforts to design appropriate evaluation strategies for analyzing types of education service agencies, an appropriate concern of high interest to local, state and federal policy planners and decision makers and to the public.

Characteristics of most significance in distinguishing special district type networks from the regionalized SEA/ESA and cooperative networks were:

1. Larger number of units in a statewide system
2. The election of members of governing boards

3. Designation of the executive officer as an agent of the state

4. The role played by the networks in achieving priorities of the state system of elementary-secondary education

5. The role played by the networks in improving educational practice at the public LEA level

Over forty characteristics were found to be useful in identifying critical variables for the development of a meaningful taxonomy of types of ESAs. The large number of potential variables is viewed as a positive outcome, for educational service agencies appear to be complex organizations having few counterparts in elementary-secondary education.

SAMPLE

CROSS-STUDY SYNTHESIS

Emerging Key Points

The type of information that can be identified through ERIC/R&D utilization/knowledge production utilization dissemination studies constitutes only a small part of the knowledge base in education.

Users/clients need to be more actively involved in the earliest planning stages of intervention systems.

Processes for two-way communication ("feedforward") between practitioners and researchers/developers/policy makers which is continuous and productive need to be carefully structured and maintained in order to be effective.

Clarity and consistency of mission, goals and objectives is essential; practitioner participation in formulating these is particularly important in collaborative efforts and for "quality control" of intermediaries.

Title: Federal Initiatives and Rural School Improvement: Findings from the Experimental Schools Program (Draft)

Author: Robert E. Herriott
Abt Associates, Inc., May, 1979

Theme: The major findings of the extensive research study of the Experimental Schools (ES) Program are summarized in this capstone document. Findings are presented in terms of the dynamics of rural school districts and as related to the design and implementation of federal programs to facilitate rural school improvement.

Key Points: Those who design or implement federal programs to facilitate local change efforts need to recognize that rural schools have many diverse functions that go beyond basic skills acquisition. Plans for curricular change may actually conflict with other valued functions of the schools.

The process of consolidation and annexation has created serious social, ethnic and racial cleavages in many rural communities; these constitute major impediments to planned change.

Rural community members regard with skepticism external initiatives having long-term financial implications at the local level. In addition, great variability exists in the willingness of rural communities to invest in education.

The power and authority of teachers, administrators and boards is as unsettled in rural communities as it is in urban areas. Highly prescriptive change efforts are likely to become enmeshed in, or even irritative of, local conflicts over teacher autonomy.

Comprehensive change, such as that attempted through the Experimental Schools Program, can be highly disruptive of normal school functioning and can result in a lowering of pupil test scores.

Dramatic educational change as an objective of federal initiatives is replete with serious obstacles; dramatic change as a strategy for accomplishing more limited changes which can be continued with local funds is more likely to be viable. Such a strategy is not likely to produce demonstrable pupil change, as the organizational turmoil and conflict which frequently occurs can shift energy and focus away from classroom instruction.

The ES Program was designed to test the efficacy of a system-wide change effort, but the study showed that little success was achieved in getting "loosely coupled" units within school districts to work collaboratively in planning for comprehensive educational change. The most successful implementations were found in districts where responsibility had passed from central office personnel to those directly involved in schools where change was to take place.

During the planning year of the ES Program, rural school officials repeatedly protested the lack of specificity of federal intent, particulary when local plans were repeatedly rejected as unacceptable at the federal level.

Study findings support the concept that federal initiatives designed to facilitate systematic changes in rural school districts definitely require funding commitments of longer than one year.

Rural school districts tend to prefer technical assistance support from external experts with strong ties to their local cultures; federal officials tend to value most highly experts with cosmopolitan expertise and reputation.

Recommendations: Direct federal-local programs must be able to function successfully within the culture of the federal bureaucracy in a manner sympathetic with the cultural requirements and values of the rural communities they are attempting to help.

The seriousness and realism of goals of pupil change needs to be carefully assessed in both program implementation and program evaluation.

Rational planning at the federal level is of particular importance in dealing with small rural districts which may lack experience in dealing effectively with seemingly capricious external agencies.

Managers of direct federal-local funding programs must clarify whether a document resulting from the local planning process is intended primarily to serve as a federal compliance document or as a guide to local action. It is unlikely that the same document can be used for both purposes.

Federal program planners who value the role teachers, students and citizens can play in the planning process must be alert to the need to insulate the local planning process from the pressures of the federal funding cycle, its associated deadlines, and other aspects of bureaucracy.

There is a need for federal sponsorship of a broad group of well-trained technical assistance specialists knowledgeable in the substance and technology of educational change and able to function successfully at both the federal and the local level.

FEDERAL INITIATIVES AND RURAL SCHOOL IMPROVEMENT: FINDINGS FROM THE EXPERIMENTAL SCHOOLS PROGRAM (DRAFT)

Robert E. Herriott, Abt Associates, Inc.
May 1979

This document is a preliminary draft of the capstone report which summarizes findings of the 17 research reports included in Abt Associates' study of the Experimental Schools Program for Small Schools Serving Rural Areas (National Institute of Education). This concluding report is directed primarily to those at the federal level responsible for the design and/or implementation of programs to facilitate educational improvement at the local level.

Based on an extensive research effort,* this document summarizes findings from literature on the educational needs of contemporary rural America, notes the relevance of the Experimental Schools (ES) Program to those needs and presents the major findings of the research in terms of:

- The dynamics of rural school districts
- The design and implementation of federal programs to facilitate rural school improvement

Program Design

The Experimental Schools (ES) Program was originally funded through the U. S. Office of Education and later transferred to the National Institute of Education. This pilot effort began in 1972; a limited number of rural schools (ten) were awarded extensive multi-year grants for the purpose of planning and implementating locally designed projects of educational change. It was expected that at the end of the five-year funding period each district would be markedly different educationally, while operating at approximately the expenditure level that had existed prior to involvement in the ES project. An emphasis on community involvement in project design and operation was seen by federal planners as essential. The intent was to increase the validity of the identification of major educational needs within the district and to assure community support essential for continuing successful project components when federal funding ended. A "formative evaluation" component was required of each project district, including collection of data about project effectiveness which could be used by local decision makers.

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*The Abt Associates' study of the ES Program has led to production of 14 technical reports; 40 articles, book chapters or research monographs; 21 papers presented at professional meetings; and two synthesis reports.

The ES Program utilized only a direct federal-local funding route, largely in response to federal officials who viewed the state as an impediment to effective local change. Herriott cites Kirst (1979) in suggesting that there is much in the ES experience to be learned about "federally induced local reform. . .(when). . . the 'state middleman' is not in the picture."

Findings

Because this is a report of research on only one federal program (and ten rural school districts), Herriott cautions that it is limited in generalizability to all rural districts. Still, there is a wealth of detailed information about the dynamics of planned educational change within the ten districts studied.

Findings Related to the Dynamics of Rural School Districts

1. The multiple functions of rural schools. Those who design or implement federal programs to facilitate local change efforts need to

recognize that rural schools have many and varied functions. Diverse expectations of rural schools include:

- Basic skills acquisition
- Balance between college preparatory and vocational curricula
- Preparation of youth for careers within the community
- Preparation which leads to career (and geographic) mobility
- Community pride and identity (especially through athletic programs)
- Major employer, particularly of college-educated personnel

Federal program planners need to recognize that plans for curricular change which they seek to have implemented may be of only minor importance to rural schools and may, in fact, conflict with other functions of schools which are valued highly.

2. The conflict between stability and change in rural communities. Tensions between those who prefer things as they are and those who envision positive changes are particularly active in rural communities. Federally stimulated change efforts may support goals of rural educators, but at the risk of antagonizing groups in the community who prefer stability to change. Such conflict can lead to high staff turnover in rural districts as educators find little support for their "cosmopolitan" ideas for school improvement.

3. The recency and nature of school district consolidation. The processes of both consolidation and annexation, most of which have occurred in the past twenty years, have created school districts which bear little resemblance to the community units served. Such school districts have great difficulty integrating educational endeavors into their larger social fabric and may, in fact, become the focus of concerns which would be directed at other agencies of local government in more

integrated communities. If the consolidation process was resisted, as many were, a federal program with even the slightest hint of "unexpected strings" can be threatening if perceived as the imposition of another external initiative.

4. The size, geographical dispersion and population density of school districts. Rural school districts vary considerably in the number of pupils served, the number of teachers and administrators employed, the physical location of buildings and the density of their populations.

Many rural communities employ small administrative staffs in order to keep operating costs lower and reduce the number of people "not engaged in productive work." This can mean that time for preparing sophisticated proposals to federal agencies is limited and that little expertise is available for planning and implementing the resulting projects if the proposal effort was successful.

5. The heterogeneous nature of rural populations. The process of consolidation and annexation has created serious social, ethnic and racial cleavages in many rural communities; these constitute major impediments to planned educational change. Those groups without power at the local level are frequently targets of federal initiatives; but educators at the local level responding to such initiatives are often poorly prepared to accomplish the federal goals.

6. The limited and precarious economic base. Changes resulting from demographic and economic forces over which they had no control have led many members of rural communities to regard with skepticism external initiatives having long-term financial implications at the local level.

Great variability exists in the willingness of rural schools to invest in education. Although the ES Program provided an opportunity for school districts to plan and implement projects which would make more effective use of limited and shrinking resources, such an initiative did not generally produce a more effective educational system along the lines envisioned by federal planners.

7. Rural fears of federal colonialism. Although few rural communities refuse federal funding, they approach it with great suspicion. Many of their experiences with "the feds," whether Department of Agriculture, Department of the Interior or whatever, have left them wary of their ability to maintain local autonomy in the face of further federal ties.

8. The shifting balance of power and authority among rural teachers, administrators and school boards. Strikes, collective bargaining and teacher militancy are no longer foreign issues to many rural communities. Thus, the study found that the assumption of an authority structure within rural school districts in which the school board sets policy to be implemented by administrators through teacher compliance is in error. In addition, it was found that the power and authority of teachers, administrators and boards is unsettled in rural communities as well as in urban areas. The idea that rural school boards surrender their authority over rural education to professional educators is inaccurate. Highly presciptive federal change efforts are, according to Herriott, likely to become enmeshed in, or even irritative of, local conflicts over teacher autonomy.

9. Citizen reservations regarding the professional license of educators. Rural communities seem, according to the report, to be particularly puzzling with respect to just what can be left to the professional judgement of educators and what must be decided by local citizens. Under conditions of conflict between teachers and administrators or teachers and the school board, ordinarily passive rural citizens can

become highly active, not necessarily to impose their will, but to restore tranquility to the educational situation. Change efforts which link local educators with federal officials often produce these types of conflicts; change may be more likely to be seen in board, administrative or teacher turnover than in the educational system.

Findings Related to the Design and Implementation of Federal Programs to Facilitate Rural School Improvement

Federal aid to local education is generally justified at the federal level as being needed to assist or motivate local educational agencies in adapting to changing national priorities. Programs are designed within legislative constraints at the federal level; implementation is carried out primarily at the local level. Although the formal grant or contract is intended to limit the range of local actions to those consistent with federal design, most are sufficiently ambiguous to create a need for active federal monitoring. The following findings center around twelve problem areas which program planners and project officers are likely to face.

1. The "two culture" problem. According to Herriott there is an inherent tension among federal, state and local levels of government due to the very nature of American federalism. In the case of programs with direct federal-local funding the state is usually unavailable to serve as a buffer between any possible excess of federal initiative and local resistance. Thus, he points out, the two cultures of the "locals" and the "feds" can come into serious conflict.

The ES Program set out to be of genuine assistance to ten rural school districts, but the study found the effort was largely ineffective because of the program's lack of ability to function successfully within the culture of the federal bureaucracy in a manner sympathetic with the cultural requirements and values of the rural districts it was attempting to help.

This report suggests that there is an important message in the ES experience for all at the federal level who desire to facilitate rural school improvement through direct federal-local funding. It is essential to understand well the culture of the federal bureaucracy and of those rural communities with which it is to be linked, and then develop mechanisms for successfully buffering those aspects of each which might serve as obstacles to accomplish shared objectives.

2. The specification of program goals. Although the intent of most federal legislation directed toward American public education is the enhancement of pupil knowledge and skills, this focus may become displaced during program design and negotiations. The occurrence of this phenomena is reported in the study of the ES Program; an early emphasis on pupil change shifted to one on system change and finally to change in particular curricular components. Hence researchers were not surprised to find no systematic evidence of pupil change which could be attributed to a district's participation in the program.

The study reports that comprehensive change, such as that attempted through the ES Program, can be highly disruptive of normal school functioning and can result in a lowering of pupil test scores. The seriousness and realism of goals of pupil change need to be carefully assessed therefore in both program implementation and its evaluation.

3. The specification of program scope. The Experimental Schools Program was intended "to find out whether new educational programs, which address all parts of an educational system simultaneously, will

be more effective than past efforts which have focused on only one or several parts of an educational system at a time." (HEW, 1972)

The Abt study found great variation in the degree of comprehensive change attempted by each of the ten districts; only one district attempted the type of dramatic change envisioned by ES Program designers. Effects of change on the ten districts led the researchers to conclude that dramatic educational change as an objective of federal initiatives in rural school districts is replete with serious obstacles; dramatic change as a strategy for accomplishing more limited changes which can be continued with local funds is likely to be more viable. Such a strategy is, however, not likely to produce demonstrable pupil change, as the organizational turmoil and conflict which frequently occurs can shift energy and focus away from classroom instruction.

4. The need to plan for program implementation at the federal level. The Experimental Schools Program was designed hastily in response to a Congressional sense of urgency; little of the rational planning expected of the local participants in the program could be observed at the federal level. Such rational planning at the federal level is of particular importance in dealing with small rural districts which may lack experience in dealing effectively with seemingly capricious external agencies.

5. The appropriate unit of project implementation. The ES Program was designed to test the efficacy of a system-wide change effort, but the study showed that little success was achieved in getting "loosely coupled" units within school districts to work collaboratively in planning for comprehensive educational change. In those districts where collaborative planning did occur, it was generally dominated by central office administrators; only two districts successfully implemented comprehensive

system-wide change. In each case, conflict leading to resignations of key administrators occurred and few project components were retained once federal funding terminated. The most successful implementations were found in districts where responsibility had passed from central office personnel to those directly involved in the schools where change was to take place.

6. The criteria for site selection. The program objective of facilitating and implementing comprehensive educational change was best achieved in those districts with prior successful change experiences. Those sites selected on the basis of need failed to implement the type of systematic changes envisioned in the ES Program. Federal reaction to the "failures"--unplanned technical assistance intervention and aggressive contract monitoring--tended to be disruptive.

7. The degree of guideline specificity. During the planning year which followed site selection, rural school officials repeatedly protested the lack of specificity of federal intent, particularly when local plans were repeatedly rejected as unacceptable at the federal level. Rural school districts prefer to strike explicit bargains and stick with it rather than engage in continuous negotiations.

8. The role of a planning document. Shifting priorities at the federal level during the planning year of the ES Program left the ten districts extremely uncertain as to whether the planning document was to facilitate action at the local level or serve as compliance monitoring at the federal level. This report suggests that managers of direct federal-local funding programs carefully consider the role of the planning process and clarify whether the resulting document (proposal or plan) is primarily intended to serve as a federal compliance document or

as a guide to local action. Given the two cultures of Washington, D. C. and rural America, as noted earlier, it is highly unlikely that the same document can be used for both purposes.

9. The appropriate duration of federal funding. Although the ES Program did achieve federal funding commitments greater than the typical one-year peiod, the study findings suggest that credible funding vehicles for obligating the federal government over multi-year periods need to be established. The study did support the concept that federal initiatives designed to facilitate systematic changes in rural school districts definitely require funding commitments of longer than one year.

10. The appropriate balance between local participation and federal monitoring. The benefits of broad-based decision making, as advocated in the ES Program, were undermined when the federal monitoring process required districts to make major revisions in their draft plans on short notice. Federal program planners who value the role which teachers, students and citizens can play in the planning process must, according to Herriott, be alert to the need to insulate the local planning process from the pressures of the federal funding cycle, its associated deadlines and other aspects of bureaucracy.

11. The design of program evaluation. The Experimental Schools Program was intended primarily as an R&D effort whereby knowledge gained in the ten sites would be widely disseminated. It was also expected that local decision making would be both rational and based on competent formative evaluation. However, only one of the ten districts had any systematic experience with formative evaluation and virtually all districts struggled throughout the program with the concept. The study reports that none of the ten districts achieved the degree of commitment to or technical skill in formative evaluation anticipated.

12. The provision of appropriate technical assistance. The designers of the Experimental Schools Program recognized that the ten rural school districts would need extensive technical assistance in the planning and implementation of change efforts, but did not anticipate the difficulty project officers would have in assisting the districts in acquiring help. The rural school districts tended to prefer external experts with strong ties to their local cultures; federal officials tend to value most highly experts with cosmopolitan experience and reputation.

Because of this, project monitors often assumed roles as "project advisors" or "technical assistance specialists"--roles possibly more appropriately played by a third party. Findings of the Abt study of the ES Program suggest the need for federal sponsorship of a broad group of well-trained technical assistance specialists knowledgeable in the substance and technology of educational change and able to function successfully at both the federal and the local level.

APPENDIX

Abt Associates' Research

In addition to funding ten local projects, the Experimental Schools Program selected Abt Associates to conduct systematic research. Since its inception in June 1972, Abt Associates' study (here referred to as Project Rural) utilized a multi-method, multi-disciplinary research approach, collecting and interpreting both quantitative and qualitative data. The basic data of Project Rural were collected periodically during a six-year period (1972-78) from:

- Census documents
- Standardized tests and questionnaires administered to pupils at all grade levels
- Survey forms mailed to school personnel and community residents
- Informal and formal interviews with pupils, school personnel and community residents
- Extensive participant observation by experienced sociologists and anthropologists, each of whom resided for over three years in one of the ten school districts involved in this federally stimulated program of planned educational change

The extensive knowledge gathered in these diverse ways has been described, analyzed, and interpreted through a series of fourteen book-like reports presenting:

- A social-psychological study of pupil change across the ten ES districts and also 18 comparison districts selected in 1975 (Abt, Cerva, and Marx, 1978; Abt and Magidson, 1979)
- A sociological study of organizational change across the ten ES districts (Rosenblum and Louis, 1979)
- A socio-economic study of community change across the ten ES districts (Fitzsimmons and Freedman, 1979)
- A social and educational history of the ten ES school districts prior to 1972 (Fitzsimmons, Wolff and Freedman, 1975)

In addition to these fourteen book-like reports, Abt Associates has also prepared two less technical documents, directed primarily to educational practitioners:

- A book of case studies and subjective cross-site analyses for use in colleges and universities training educators for service in rural areas (Herriott and Gross, 1979)
- A handbook on planning and implementing educational change for use in in-service workshops with superintendents, principals, and special project administrators in rural areas (Deal and Nutt, 1979)

The methods used to understand the process of federally stimulated, planned educational change in rural America vary greatly across these sixteen reports. The most extensive quantitative approach was that employed in conducting a quasi-experimental "black box" analysis of the effects on pupils of a school district's participation in the ES Program. Several reports involved the integration of quantitative survey data collected in all ten school districts with the narrative and statistical accounts of the participant observers. By and large, the broadest range of insight into the dynamics of federally stimulated change in rural areas comes from the eight ethnographic case studies, each presenting extensive description and analysis of local conditions and actions within a single school district. The two synthesis reports draw selected insights from the technical reports and direct them primarily to practitioners. These sixteen reports represent a substantial expansion of the knowledge base available to federal program planners on both rural communities and the process of planned educational change, and can be actively consulted by those responsible for either program design or implementation.

Title: Indicators of Educational Knowledge Production, Dissemination and Utilization (KPDU): Exploratory Data Analyses

Author: Paul D. Hood and Laird R. Blackwell
EDSSP, Far West Laboratory. February 1979

Theme: Previously collected dissemination and utilization data from all 50 states was analyzed in order to identify data elements that might serve as dissemination capacity indicators, knowledge base indicators and "contextual" indicators which might serve as predictors of state-level knowledge production or dissemination capacity indicators.

Key Points: A model for a system of specific KPDU indicators was developed by Hood (1979); it consists of four components:

1. Production output indicators which can serve as estimates of the type, quantity, or other characteristics of quantifiable units of educational knowledge (e.g., documents) as related to their origin (e.g., author or institution location).

2. Dissemination structure indicators which measure the characteristics or capacity of structural or functional components of the educational dissemination system (e.g., number and type of information search services, number and type of linking agents). In general, these indicators should display how educational dissemination resources - funds, people, products, services and technology - are allocated across educational sectors and geographic areas.

3. Utilization indicators which provide information regarding request and usage rates, adoptions, impact, benefits, etc., by geographic or educational sectors, for types of institutional and individual consumers of educational knowledge, products and services. (Currently, few satisfactory utilization indicators are available that can be used to give information regarding the various facets of knowledge utilization or its impacts).

4. Contextual indicators which provide information concerning distribution across geographic areas of changing composition and trends of aggregative data that reflect the demographic, organizational, social, political, economic and educational environments for educational KPDU. These indicators can reflect conditions or forces that may serve to supply, support, constrain, or otherwise influence the production, dissemination or consumption of educational knowledge.

Measures of size were found to be highly *correlated with all production and dissemination measures that are counted*, and size of the state accounts for much intercorrelation among these counted indicators. *States with large school populations simply tend to produce more educational documentation and more exemplary projects and to have more dissemination structures*. Next to size, the *level of educational expenditure* also acts as a *positive predictor* for many indicators. The presence of *intermediate structures* such as intermediate service agencies (ISAs) and teacher centers (TCs) also *adds small increments* to the multiple correlations for many indicators.

The U. S. Office of Education (USOE) Regions *differ significantly* on at least four of the seven factor scores: *size, expenditure, density and population change*. The regions *did not differ* reliably on the *teacher center service, ISA service, or effort factors*.

USOE Regions may differ significantly on as many as eight indicators. The greatest differences (in order) are:

1. Research and Development Exchange (RDx) Service
2. Number of ERIC standing orders
3. Number of state education agency (SEA) produced documents in Resources in Education (RIE)
4. Number of ERIC Clearinghouses
5. Number of RIE documents
6. National Diffusion Network (NDN) State Facilitator ratings
7. Number of Joint Dissemination Review Panel/Developer/Demonstrator (JDRP/DD) Projects
8. Number of ERIC Computer Search Services

Size (e.g., school enrollment, instructional staff size, population, density, number of consultants and supervisors of instruction, number of school librarians) *is the single most powerful predictor of state educational knowledge production and dissemination capability*.

Size is particularly good at *predicting ERIC productivity* and dissemination.

States can be grouped on the basis of their "scores" on production/dissemination capacity variables. *Groups of states* can be clearly *characterized, distinguished, and* described according to their dissemination characteristics.

States can also be grouped on the basis of the contextual factors or measures that predict dissemination.

Though the typology of states based on geographic proximity (USOE Regions) is quite different from the typologies created to maximize differences between groups on dissemination indicators or predictors of dissemination, there are considerable and consistent differences between the USOE Regions on many of the dissemination predictors and on many of the dissemination indicators.

INDICATORS OF EDUCATIONAL KNOWLEDGE PRODUCTION DISSEMINATION AND UTILIZATION: EXPLORATORY DATA ANALYSES

Paul D. Hood and Laird R. Blackwell,
Far West Laboratory. February 1979

Overview

One of the general objectives of the Educational Dissemination Systems Support Program (EDSSP) is to establish efficient means for analyzing, monitoring and communicating the status, needs, and accomplishments of educational dissemination performers. For this study, previously collected dissemination and utilization data from all 50 states were analyzed in order to identify data elements that might serve as dissemination capacity indicators, knowledge base indicators and "contextual" indicators. These could possibly serve as predictors of the state-level knowledge production or dissemination capacity indicators. (A search for satisfactory knowledge utilization indicators proved fruitless.)

The Conceptual Framework and Approach

The notion of "social indicators" plays an important role in the approach taken. In the field of education, few traditionally-used social indicators have a direct bearing on educational knowledge production, dissemination, or utilization (KPDU), although some might serve as "contextual" variables that relate to KPDU.

A model for a system of specific KPDU indicators was developed by Hood (1979); it consists of four components:

1. Indicators of educational knowledge - production outputs
2. Indicators of educational knowledge - dissemination structures
3. Indicators of educational knowledge - utilization
4. Indicators of contextual factors that may be used to predict or explain the patterning of the other types of indicators

Production output indicators are concerned with estimates of the type, quantity, or other characteristics of quantifiable units of educational knowledge (e.g., documents) as related to their origin (e.g., author or institution location).

Dissemination structure indicators are concerned with the characteristics or capacity of structural or functional components of the educational dissemination system (e.g., number and type of information search services, number and type of linking agents). In general, these indicators should display how educational dissemination resources - funds, people, products, services and technology - are allocated across educational sectors and geographic areas.

Utilization indicators should provide information regarding request and usage rates, adoptions, impact, benefits, etc., by geographic or educational sectors, for types of institutional and individual consumers of educational knowledge, products and services. (Currently, few satisfactory utilization indicators are available that can be used to give information regarding the various facets of knowledge utilization or its impacts.)

Contextual indicators provide information concerning distribution across geographic areas of changing composition and trends of aggregative data that reflect the demographic, organizational, social, political, economic and educational environments for educational KPDU. These indicators can reflect conditions or forces that may serve to supply, support, constrain, or otherwise influence the production, dissemination or consumption of educational knowledge.

Relationships Among Types of Indicators

Because of the sometimes highly local connections of production, dissemination and utilization, it would not be surprising to find strong correlations between some types of production, dissemination and utilization indicators, especially those that may be based on counts of units or entities. There is also strong reason to suspect that contextual factors (e.g., population density, per capita wealth) might constitute common underlying factors that may account for much of the observed correlation between production and dissemination indicators or between dissemination and utilization indicators when aggregated by region or state.

BUILDING A DATA FILE

Indicators of Knowledge Production

Five indicators of knowledge production were created:

1. Statewide RIE Production
2. State Education Agency (SEA) RIE Production
3. Schools, Colleges and Departments of Education ERIC Production
4. JDRP-Approved and DD-Funded Exemplary Practices
5. State Validated (IV-D) Programs

Strong, but not perfect, intercorrelations were found; the stronger correlations are between statewide RIE and schools, colleges and departments of education (SCDE) productivity and between statewide RIE and SEA-RIE productivity.

Although a number of additional indicators of knowledge production could be constructed, these five indicators were selected for exploratory purposes. Their intercorrelations are sufficiently high, but not so extremely high to suggest that they are indexing different facets of the general level of knowledge production in the 50 states (and D. C.).

Indicators of State Dissemination Capability

Eight distinct, and one shared, indicators of state dissemination capability were identified. The first three are related to the ERIC system:

1. ERIC Standing Orders (Number of agencies in each state that maintain standing orders for ERIC microfiche.)

2. Computerized Search Services (Number of organizations currently providing computerized searches of the ERIC data base.)

3. ERIC Clearinghouses

Three indicators are related to SEA dissemination leadership:

4. State Capacity Building (SCB) Grant States

5. State Dissemination Plan

6. R&D Exchange Service

Three indicators attempt to identify human (e.g., linking agent) dissemination capabilities:

7. R&D Utilization Program Intermediaries

8. NDN State Facilitator Ratings

9. JDRP-Approved and DD-Funded Exemplary Practices (Also included in the Knowledge Production set.)

Factor analysis of educational knowledge production and dissemination indicators showed three factors explaining most of the covariance among indicators:

- A general knowledge production and access factor that is strongly associated with document-based indicators
- A state agency planning and capacity building factor
- A human linkage and innovative practices factor

The two validated practices indicators, which combine aspects of production and dissemination of school-based innovative practices, are particularly interesting because they display approximately equal loadings on the document-based knowledge production and access factor and the human linkage factor. It is possible that these two factors, one document-based and one human-based, are perhaps the primary factors that underlie ten of the 13 knowledge production and dissemination indicators.

Predictors of State-Level Production and Dissemination Capability

Selection of Contextual Indicators. Preliminary examinations of data distributions indicated that higher knowledge production and dissemination indicator counts tended to be associated with larger state populations. Although less apparent in the data, wealth also appeared to be a contributing factor. "Contextual" indicators which could possibly be related to the production/dissemination indicators were selected for the exploratory work. These 22 variables are listed below by groups.

School Enrollment and Staff Size

- Elementary and secondary (ES) public school enrollment
- Elementary and secondary public school instructional staff in 1974
- Elementary and secondary public school consultants and supervisors of instruction in 1974
- School librarians in 1974
- Enrollment in institutions of higher education in 1974

School Organizational Structures

- Number of local educational agencies (LEAs) in 1973
- Percent of LEAs with enrollment of 25,000 or more
- Percent of LEAs with enrollment of less than 300
- Number of Intermediate Service Agencies (ISAs) in 1977
- ES enrollment divided by number of ISAs (ISA Ratio)
- Number of Teacher Centers in 1977
- ES staff divided by number of Teacher Centers
- Number of Institutions of Higher Education in 1974

Demographic and Financial

- Population per square mile (density) in 1970
- Population change from 1960 to 1970
- ES school expenditure per pupil in 1974-75

- State per capita school expenditure in 1975
- State per capita school expenditure in 1976
- State per capita income in 1975
- Ratio of 1975 school expenditure per pupil to 1975 per capita income
- Average ES public school instructional staff salary in 1974-75
- Ratio of staff salary to per capita income

Factor analysis produced seven factors:

1. Size
2. Expenditure
3. High Density (Urbanization)
4. Low Teacher Center Service (Distribution)
5. Positive Population Change
6. Low Relative Educational Effort (low teacher salaries relative to per capita income)
7. Low ISA Service

The first two factors are the most prominent. Ten context indicators are strongly associated with Factor 1; six are strongly associated with Factor 2. The remaining factors are defined in terms of only two or three context indicators.

Significance and Reliability of Results. Since all 50 of the states and the District of Columbia constitute the defined population, this is a 100 percent sample and hence there is no sampling error. Consequently, all of the results may be considered statistically significant. Of course, there can be measurement error and there certainly may be changes in the indicator values over time. Significance in terms of reliability of measurement and generalization over time must therefore be considered. Most of the document-based knowledge production indicators involve large data bases; hence, the relative rankings among states can be expected to remain highly stable over several years. Although not as large as the document counts, the same relative stability can be expected of numbers of ERIC standing orders and computer services. The remaining validated practices and other dissemination indicators are expected to have less stability. Increases in number of validated practices, inclusion of additional states in the RDx Regional Service territory, additional development of state dissemination plans will occur in the next year or two. For these reasons there may not be very high stability for the newer, more "down-stream" and typically "human linkage" types of dissemination indicators.

Expected stability among the context indicators is generally high except for Teacher Centers and ISAs; the numbers of these can be expected to change sufficiently over several years to have effect on relative values among the states.

Discussion of Relationships of Predictors to Production and Dissemination Indicators

Measures of size were found to be highly correlated with all production and dissemination measures that are counted, and size of the state accounts for much intercorrelation among these counted indicators. States with large school populations simply tend to produce more educational documentation and more exemplary projects and to have more dissemination structures. Next to size, the level of educational expenditure also acts as a positive predictor for many indicators. The presence of intermediate structures such as ISAs and TCs also adds small increments to the multiple correlations for many indicators.

Although a state's document-based productivity, dissemination (and also possibly its utilization) can be predicted effectively by some simple quantitative measures of size, it is necessary to know considerably more about a state to do at all well in predicting less document oriented aspects of its dissemination capability.

COMPARISON OF USOE REGIONS

Comparisons of Regions on Contextual Factors

Since the seven contextual factor scores contain most of the information available in 20 contextual measures, these factor scores were employed to look for regional differences.

One-Way Analysis of Variance. A one-way analysis of variance showed that the USOE Regions differ significantly on at least four of the seven factor scores: SIZE, EXPENDITURE, DENSITY and POPULATION CHANGE. The regions did not differ reliably on the TEACHER CENTER SERVICE, ISA SERVICE or EFFORT factors.

Comparison of Regions on Production and Dissemination Indicators

Analysis of the 13 production and dissemination indicators suggests that the USOE Regions may differ significantly on as many as eight indicators. The greatest differences (in order) are:

- RDx Service
- Number of ERIC Standing Orders
- Number of SEA-produced documents in RIE
- Number of ERIC Clearinghouses
- Number of RIE documents
- NDN State Facilitator ratings
- Number of JDRP/DD Projects
- Number of ERIC Computer Search Services

Relationships Between Contextual Predictors and Production/Dissemination Indicators within USOE Regions

Exploratory work has indicated that it is possible to classify states into groups and to characterize those groups on the basis of similarities and differences in contextual measures that predict production/dissemination capabilities and also on the basis of similarities and differences in direct measures of some aspects of production and dissemination capacity. It has also indicated that, when states are grouped by geographic regions (i.e., USOE Regions), the regions do differ on many of these dissemination predictors and indicators. This would seem to indicate that there are geographic effects operating either directly on educational knowledge production and dissemination or on contextual factors that are related to (and influence?) dissemination. It is interesting to discover that despite these differences between regions on such variables as SIZE and ERIC production and dissemination, the strong predictive relationship between SIZE and ERIC is maintained within each region as well.

CONCLUSIONS

Hood and Blackwell feel that a promising beginning has been made in predicting state dissemination capability and developing a typology of states based on dissemination capability. The major conclusions of this exploratory study are:

- SIZE (e.g., school enrollment, instructional staff size, population, density, number of consultants and supervisors of instruction, number of school librarians) is the single most powerful predictor of state educational knowledge production and dissemination capability.
- SIZE is particularly good at predicting ERIC productivity and dissemination (correlations of SIZE with ERIC variables range from .73 to .87).
- A weighted sum of SIZE and EXPENDITURE factor scores correlates .87 with ERIC factor scores (a composite of all the ERIC variables).

- SIZE is less highly correlated with non-ERIC indicators of dissemination, but when combined with other predictors (EXPENDITURE, DENSITY, TEACHER CENTERS, POPULATION INCREASE, ISA), the multiple correlations range from .40 to .78.

- States can also be grouped on the basis of their "scores" on production/dissemination capacity variables. Groups of states can be clearly characterized, distinguished, and described according to their dissemination characteristics.

- States can also be grouped on the basis of the contextual factors or measures that predict dissemination.

- The typology based on dissemination predictors and the typology based on dissemination indicators are quite similar; many of the states cluster into the same groups in the two typologies.

- Though the typology of states based on geographic proximity (USOE Regions) is quite different from the typologies created to maximize differences between groups on dissemination indicators or predictors of dissemination, there are considerable and consistent differences between the USOE Regions on many of the dissemination predictors and on many of the dissemination indicators.

- The relationship between SIZE and ERIC productivity and dissemination remains strong even for states within each of the 10 USOE Regions.

Title: Information Dissemination and Exchange for Educational Innovations: Conceptual and Implementation Issues of a Regionally-Based Nationwide System

Authors: Michael Radnor, Durward Hofler, Robert Rich (editors)
December 1977

Theme: This collection of conceptual papers was commissioned by the National Institute of Education for the purpose of identification of key questions and issues that should be considered by those responsible for the development of the Research and Development Exchange (RDx). The RDx is an effort which developed from the formulation of strategies for transmitting educational research results to practitioners and to "feedforward" the needs of practitioners to the researchers. A wealth of conceptual material, findings and recommendations is to be found in this group of papers.

Key Points: RDx is viewed as a system which can potentially fill gaps in the area of educational R&D and its linkages to practitioners by (1) providing an effective feedforward component that, over time, has the potential of guiding applied research so that it will be directly relevant to the needs of practitioners in state and local educational agencies as well as teachers in the classroom; (2) improving the quality and utility of R&D outcomes for practitioners by increasing the availability and access (in terms of language and communicability) of research; and (3) improving the quality and efficiency of organizations, activities and personnel who are involved in linkage activities -- including providing brokerage services and direct services to help linkers acquire up-to-date information.

Maximum impact and utility of the RDx effort can be achieved only if there is balance between the needs and interests of potential clients on one hand, and the services provided by RDx on the other. Balance also means the sharing of power, inputs to the effort (informational and procedural) and responsibility for outcomes.

Attempts to invest in too many operational modes simultaneously may confuse the image and the operating philosophy of a system, both to members and to clients.

The linker client is the narrow point of contact between a large set of practitioner organizations on one hand and a large set of resources on the other. Capacities of, and burdens on, these filters/gatekeepers need to be monitored; overload can be a problem for linker clients.

Communication is not the main reason for non-use of innovations; lack of perceived value in R&D and inability to implement are.

Balance is the key for RDx -- in linkages, in reciprocity of effects (both on R&D and policy, and on practice), and in openness and participation as a management and operational style.

Recommendations: The primary goal for the RDx should be the improvement of educational practice, not the delivery of R&D information, in order to tie the RDx to the primary concerns of its ultimate clients and in order to prevent the effort from being just another dissemination program.

RDx is not alone in this objective and therefore the effort must be concerned with building close working relationships with other service systems and organizations. RDx should be willing to fill in the gaps, but again, not just those gaps concerned with delivery of R&D products.

RDx must become much more concerned with "feedforward," building multiple procedures for gathering, verifying, synthesizing, disseminating and getting effects based on needs in educational practice. Again, these should not be just needs for R&D information. Needs-processing is an essential and large-scale dissemination activity which must be carefully designed.

The process used by RDx must become more open to practitioner and policy groups. Advisory committees are only a meager start in this direction. Attention must be given to steps which will overcome the isolated planning already done.

Careful monitoring of staff performance, capacities and potential overload is needed. Performance measures should be tied to change, not to amount of dissemination or solution delivery. Overload which restricts the work of RDx components to simple delivery must be avoided.

Client overload is also an important factor. There are very few linker clients, and these persons may simply burn out if the full scope of the RDx effort is funneled through them.

More attention must be paid to the reward system of practititioners, producers and linkers. RDx should attempt to influence these systems gently in the direction of greater reward for linkage and applications.

INFORMATION DISSEMINATION AND EXCHANGE FOR EDUCATIONAL INNOVATIONS: CONCEPTUAL AND IMPLEMENTATION ISSUES OF A REGIONALLY-BASED NATIONWIDE SYSTEM

Michael Radnor, Durward Hofler, Robert Rich (editors)
December 1977

This document is a collection of conceptual papers written by various experts around issues central to the development of the Research and Development Exchange (RDx). The papers were commissioned by the National Institute of Education for the purpose of identification of key questions and issues that should be considered by those responsible for the development of the RDx system.

The extent to which educational R&D is being effectively disseminated; the extent to which R&D is affecting educational practice; and the extent to which the R&D community is responding to the needs and problems of educational practice have been ongoing concerns of the National Institute of Education.

NIE, through its Dissemination and Resources Group, explored new ways of identifying practitioner needs and of bringing these needs to the attention of funding agencies and educational researchers and developers. The editors of the conceptual papers report that collaborative planning was initiated in the fall of 1976 among educational laboratories, state education agencies, intermediate agencies, the U. S. Office of Education Regional Offices and NIE. The purpose of these planning sessions was the formulation of strategies for transmitting educational research results to practitioners and to "feedforward" the needs of practitioners to the researchers. Over time, therefore, research could be responsive to practitioner needs. This effort has become known as The Research and Development Exchange.

Three major problems constitute the primary focus of the RDx system:

1. How can practitioners' understanding and use of R&D outcomes be increased?

2. How can R&D outcomes better reflect practitioner needs, concerns and findings?

3. How can the quality and efficiency of organizations and personnel involved in linking R&D outcomes with practitioner needs be improved?

(Klein, McCann and Saily)

The conceptual papers address areas thought to be most critical for the successful development of the RDx system:

A. What does the diffusion of innovation literature and experiments teach participants in the RDx system? The paper by Gerald Zaltman and Linda Sikorski summarizes principles of innovation related to the goals of the RDx system and the needs of individual participants.

B. How does the regional base/setting for this system affect overall development? Radnor, Rich and Hofler address the major issues facing research and development systems at the regional level.

C. What strategy should be developed for implementing the RDx system? What constraints and obstacles face the implementation process? What are the various stages of development through which the RDx system is likely to pass and what issues/problems should be addressed at each of these stages? Are there other efforts at system implementation which may serve as a model for the RDx system? Bean and Rogers address these questions through analogy of the Agricultural Extension Service. In addition, each of the papers addresses these questions from various perspectives.

D. What are the interorganizational conflicts and barriers which are likely to affect system development? Mojkowski and Gross address possible problems or conflicts applicable to the context of the RDx.

E. How can research products best be transformed into products that are useable to clients, practitioners, administrators and policy-makers? Is there an approach to knowledge synthesis/transformation which can be developed to facilitate the realization of RDx goals? This R&D function, a key component for the success and management of the system, is addressed by Rich and Goldhar.

F. What models of linkage and knowledge utilization should be employed in this system? What is the history of linkage efforts? What guidelines can be offered linkers for implementing the goals of the system and for successfully bringing together producers and users? Lingwood and Havelock review linkage models and practices and recommend a set of strategies for RDx practitioners.

G. What do literature and practices in the area of marketing have to offer RDx participants? Kotler, et al. discuss how various marketing strategies have been used in the past, analyze what marketing concepts have to offer this system and suggest specific marketing strategies which might be appropriate at various stages of system development.

H. What methods of monitoring and evaluation should be built into the development of this system? Are there formative evaluation efforts that should be developed for purposes of feedforward? What types of monitoring are most appropriate for this system and how can they be built into its development? Weiss, Moran, Hofler and Radnor discuss these and other key questions in their paper on monitoring in the RDx system.

A wealth of conceptual material, findings, suggestions and recommendations is to be found in this group of papers. A concise summary of recurrent themes across the papers is reported by Lingwood and Havelock in the form of recommendations:

1. The primary goal for the RDx should be the improvement of educational practice, not the delivery of R&D information, in order to tie the RDx to the primary concerns of its ultimate clients and in order to prevent the effort from being just another dissemination program.

2. RDx is not alone in this objective and therefore the effort must be concerned with building close working relationships with other service systems and organizations. RDx should be willing to fill in the gaps, but again, not just those gaps concerned with delivery of R&D products.

3. RDx must become much more concerned with "feedforward," building multiple procedures for gathering, verifying, synthesizing, disseminating and getting effects based on needs in educational practice. Again, these should not be just needs for R&D information. Need processing is an essential and large-scale dissemination activity which must be carefully designed.

4. The process used by RDx must become more open to practitioner and policy groups. Advisory committees are only a meager start in this direction. Attention must be given to steps which will overcome the isolated planning already done.

5. Careful monitoring of staff performance, capacities and potential overload is needed. Performance measures should be tied to change, not to amount of dissemination or solution delivery. Overload which restricts the work of RDx components to simple delivery must be avoided.

6. Client overload is also an important factor. There are very few linker clients, and these persons may simply burn out if the full scope of the RDx effort is funneled through them.

7. More attention must be paid to the reward system of practitioners, producers and linkers. RDx should attempt to influence these systems gently in the direction of greater reward for linkage and applications.

The papers and, therefore, the recommendations stress balance as the key -- in linkages, in reciprocity of effects (i.e., both on R&D and policy, and on practice) and in openness and participation as a management and operational style for RDx.

APPENDIX

LIST OF PAPERS AND AUTHORS

PART I

"The R&D Exchange: An Emerging Effort," Susan Klein, Richard McCann, Mary Saily

"The RDx System: Concepts, Strategies, Practices -- An Overview," Michael Radnor, Robert Rich, Durward Hofler

"Staging and Phasing Issues in the Development of a Research Dissemination/Feedforward System for Education," Alden Bean, Everett Rogers

"Knowledge Synthesis Transfer: Conceptual and Practical Problems," Robert Rich, Joel Goldhar

"Implications of Diffusion Research for RDx," Gerald Zaltman, Linda Sikorski

PART II

"A Marketing Approach to the Development and Dissemination of Educational Products," Philip Kotler, Bobby Calder, Brian Sternthal, Alice Trybout

"The Balanced Producers -- Client Linkage Exchange: The R&D Exchange as Seen from Models of Knowledge Production and Utilization," David Lingwood, Ronald Havelock

"Interorganizational Relations Problems in the Design and Implementation of the Research and Development Exchange," Charles Mojkowski, Neal Gross

"Monitoring Information Exchange with Implications for the RDx System," Andrew Weiss, Lisa Moran, Durward Hofler, Michael Radnor

Title: Information Dissemination and Exchange for Educational Innovations: Executive Summary

Authors: Michael Radnor, Durward Hofler, Robert Rich (editors)
Center for the Interdisciplinary Study of Science and Technology (CISST), Northwestern University.
December 1977.

Theme: CISST, under contract with the National Institute of Education, developed a set of four companion volumes which describe and demonstrate the use of a contextual approach for the analysis of issues in research, development and innovation (R/D&I) processes and systems. The third volume, subject of this Executive Summary, is designed to illustrate the use of a contextual framework approach in the arena of policy analysis. The nature of policy analysis is examined and eight separate policy analyses are presented which represent a variety of R/D&I issues across several sectors and governmental agencies.

Key Points: The policymaker is faced with such critical issues as:

- the sufficiency, adequacy and availability of needed information
- choices among alternative policies, each with different (and perhaps conflicting) ramifications
- differing values, goals, purposes
- resources required to implement a policy
- the uncertainties of economic, political and socio-cultural realities and dynamics
- the broad, interactive complex of relevant factors and dynamics
- the interactive effects among a variety of policies, particularly when a set of institutions is concerned.

Policy analysis may be seen as a process for identifying and analyzing alternatives. It is an attempt to bring rationality to bear on a policy issue, yet the rationality will remain limited by the complexity of the many factors involved.

The need in R/D&I policy analysis is for some process or mechanism which allows the policy analyst to consider the total process of innovation.

The policy analyst should have some analytic framework which allows consideration of the full, broad range of contextual complexity and then makes it possible to identify critical factors in order to limit and focus the analysis.

General systems theory literature is the source of the framework presented. R/D&I systems are analyzed in terms of how they interact with their environments; their central elements or subsystems; the mechanisms that link them together; internal system structures; and other system conditions such as age and state of developmental maturity.

R/D&I systems vary in matters such as: clusterings of functions within a single organization; existence and strength of institutional networks; overall level of system maturity; susceptibility to political influence; types of dissemination mechanisms and strategies; and use and effectiveness of various management technologies.

All R/D&I systems involve some common functions: research, development, production, dissemination, utilization. The specific form or configuration of these functions may vary, but the functions themselves appear to be inherent in the overall innovation process of an R/D&I system.

Policy analysis is not a "precise science"; while it may provide a basis for decision, it cannot take the final leap to decision, implementation, practice.

Recommendations: Each of the full analyses includes a set of conclusions believed to be important for policy/decision makers. Selected recommendations from these are:

1. There is a need to develop and refine an analytical framework and a relatively unobtrusive monitoring system with which the educational R/D&I system could be assessed in terms of both progress made to date and of what might reasonably be expected in the future.

2. Possible roles for an agency such as NIE related to the design and operation of regionalism include: an orchestration role; supporting and facilitating existing regional activities and arrangements; stimulating or initiating new (or rearranged) regional activities; and a "buffering" role.

3. Since NIE functions at the intersection of the political and scientific systems of which it is a part, program planning should be conducted within a two-dimensional framework: program level (political system building) and project level (R/D&I system building).

INFORMATION DISSEMINATION AND EXCHANGE FOR EDUCATIONAL INNOVATIONS: EXECUTIVE SUMMARY

Michael Radnor, Durward Hofler, Robert Rich (editors)
December 1977

This executive overview was written to summarize a book in which a contextual analysis framework developed by the authors was used to analyze a number of complex policy issues. This framework reflects a synthesis of the research and policy literature on R&D management, the economics of R&D, innovation, the sociology of science, the management and policy sciences, and of many years of managerial and research experience with such questions.

Northwestern University's Center for the Interdisciplinary Study of Science and Technology (CISST), under contract with the National Institute of Education, developed a set of companion volumes which describe and demonstrate the use of a contextual approach for the analysis of issues in research, development and innovation (R/D&I) processes and systems. The first volume (Radnor, Spivak and Hofler, 1977) provides the overall, descriptive foundation for a contextual analysis approach. A specific area of concern -- information decision and exchange for educational innovations -- is the focus of a fourth volume (Radnor, Hofler and Rich, 1977).

The third volume, subject of this Executive Summary, is designed to illustrate the use of a contextual approach in the arena of policy analysis. The nature of policy analysis is examined and eight separate policy analyses developed by CISST are presented. These analyses represent a variety of R/D&I issues across several sectors and governmental agencies.

POLICY ANALYSIS

Policy Making

Radror, Hofler and Rich stress that the making of policies is at best a difficult business. The policy maker is faced with such critical issues as:

- the sufficiency, adequacy and availability of needed information
- choices among alternative policies, each with different (and perhaps conflicting) ramifications
- differing values, goals, purposes
- resources required to implement a policy
- the uncertainties of economic, political and socio-cultural realities and dynamics; of diffuse and loosely-linked systems; of goals which lack clarity and consensus
- the broad, interactive complex of relevant factors and dynamics
- the interactive effects among a variety of policies which may be complementary or conflicting, particularly when a set of institutions is concerned.

The complexities and uncertainties of policy making tend to be of large magnitudes. Nonetheless, policy making is an important task. The complexity is such that analysis may never be "good enough" to "solve" a policy problem, yet policy analysis does have an impact -- and more so the better it is done. (Lindbloom, 1968) The authors note that absence of a policy also has impact and ramifications.

Policy Science: Insights into the Process of Policy Analysis

In light of the importance yet difficulty of the policy making process, the field of policy science has been developing over the past decade or so as an "effort to cope with the needs of a complex, dynamic and demanding society." (George Washington University, 1969) Radnor, Hofler and Rich suggest that some significant insights into the nature of policy analysis can be drawn from the developing field of policy science.

1. Complex issues must be examined in the light of their total, complex, interactive contexts.

    a. Policy analyses must consider a broad range of dynamics, factors, contextual conditions, etc.

    b. The context for a policy issue must be analyzed from multiple perspectives. The context used as a basis for analysis must be "sufficiently comprehensive to identify significant relationships." (George Washington University, 1969)

2. Policy analysis must be sufficiently focused to be useable for the policy maker.

3. The function of policy analysis is to provide a "handle" that enables a policy maker to "take hold" of a policy issue.

4. Policy analysis may be seen as a process for identifying and analyzing alternatives.

5. Policy analysis may be validly seen as an attempt to bring rationality to bear on a policy issue, yet the rationality will remain limited by the complexity of the many factors involved.

The Challenge of Research, Development and Innovation Policy Analysis

The need in R/D&I policy analysis is for some process or mechanism which allows the policy analyst to consider the total process of innovation. The identification of the interplays among policies and policy issues and the consideration of a broad range of contextual conditions and variables (e.g., institutional, personnel and knowledge technology bases; political, legal, economic, social environments) is critical. At the same time, analysis must focus on those considerations which are most critical for the policy issue at hand.

A FRAMEWORK FOR CONTEXTUAL ANALYSIS OF R/D&I

The authors recommend that the policy analyst have some analytic framework which allows consideration of the full, broad *range of contextual complexity* and then makes it possible to identify those factors which are most critical in order to *limit and focus* the analysis. A contextual framework is a tool for analysis -- it provides a *means of access into analysis* which allows the analysis to be comprehensive, yet focused.

General systems theory literature is the source of the framework presented. R/D&I systems are analyzed in terms of how they interact with their environments; their central elements or sub-systems; the mechanisms that link them together; internal system structures; input-output systems and other system conditions such as age and state of developmental maturity.

System definition - what is to be considered within the R/D&I system and what is in the environment? - is an important issue. The definition of the R/D&I system has not been limited by a rigid conceptualization of boundaries; rather, the authors have based the definition of the relevant R/D&I systems on key questions relevant to policy/decision makers and researchers.

A. *Extent of R/D&I system linkage*. While a set of institutions does comprise an R/D&I system (because of the roles they play within the total process of innovation), the authors stress that they do *not* presume that the institutions are in fact coherently linked together in "appropriate" ways or that existing linkages are strong. The critical issues are the nature, strength and appropriateness (or lack thereof) of linkages which do exist.

B. Maturation (state of development). R/D&I systems "emerge" over time. They go through/may be at different stages of development (maturation). Further, different institutions within an R/D&I system may differ in terms of their respective stages or levels of development.

1. The needs of an R/D&I system will vary with the stages of maturation; needs will most likely change over time.

2. Policies, strategies and mechanisms relevant for a young R/D&I system may be irrelevant or dysfunctional for an established, mature R/D&I system.

3. Different policies may be needed when the R/D&I institutions vary in their stages of development than when their levels of development are in balance.

C. R/D&I system variations and commonalities. R/D&I systems vary in matters such as: clusterings of functions within a single organization; existence and strength of institutional networks; overall level of system maturity; susceptibility to political influence; types of dissemination mechanisms and strategies; and use and effectiveness of various management technologies.

Generic features of R/D&I systems can, however, be identified. The authors note that all R/D&I systems involve some common functions: research, development, production, dissemination, utilization. The specific form or configuration of these functions may vary, but the functions themselves appear to be inherent in the overall innovation process of an R/D&I system. In addition, for any single R/D&I function there appear to be characteristics which are common to that function.

The importance of understanding the emergent nature of R/D&I systems is threefold:

1. An understanding of the generic characteristics of R/D&I systems enables the decision maker to "zero in" on the context areas where in-depth analysis is needed.

2. An understanding of the nature and uniqueness of one's sectoral context provides a basis for learning from R/D&I systems in other sectors.

3. An understanding of the interaction between generic and unique characteristics provides a basis for developing policies and strategies which are both generically functional and sector-specific.

Mid-level analysis, that which falls between the broad level of general theory and the narrow level of specific cases, is included by

Radnor, Hofler and Rich in their contextual analysis framework. A disciplined configurational approach that will permit systematic comparison of various policy/strategy issues is used for the purpose of developing appropriate areas of generalizability which also allow consideration of the uniqueness of specific situations.

A contextual framework which describes R/D&I systems in terms of key interactive features helpful to both the researcher and to policy makers was developed. The following categorical framework is used to group these features:

1. The R/D&I System's Environment - those features external to the R/D&I system itself, but which may impinge upon and affect the system and which the system may affect.
2. Operative System Conditions - features internal to the R/D&I system which affect the way the system operates but which are not activities by which the system creates or utilizes knowledge.
3. R/D&I Functions - what the system does to create and utilize knowledge.
4. Research on R/D&I - research about any aspect of the system or any element of the system.

The context of an R/D&I system has to be understood as the intersection of the effects or influences of each of the system features. Each R/D&I system feature acts both as an independent variable (as part of the total system context, affecting the other parts of the system) and as a dependent variable (which may be a focal concern for analysis and decision making).

EIGHT CONTEXTUAL R/D&I POLICY ANALYSES

This summary document presents overviews of eight policy analyses, each of which was prepared separately and stands alone in its own right. Each of the full analyses included a set of conclusions which the authors believe to be important for policy/decision makers. The conclusions represent a blend of deductive reasoning interacted with the authors' considerable experience in the R/D&I arena. As they state, this is the way the contextual analysis framework is designed - to allow an interactive process of deductive and inductive reasoning.

The authors caution that policy analysis is not a "precise science" and also that it is important to recognize that while policy analysis may provide a basis for decision, it cannot take the final leap to decision, implementation, practice.

1. Agency/Field Relationships in the Educational R/D&I System (October 1976)

   The concerns of the agency, as presented by NIE, were focused on two questions of procurement policy:

   - the appropriate balance between "field-initiated" versus "NIE-directed" R&D
   - the appropriate mechanisms for procuring either field-initiated or NIE-directed work.

   In this analysis, the authors analyzed the agency/field issue separately for four key R/D&I functions: research (both basic and applied), development, dissemination and evaluation research. Each of these was analyzed in terms of 1) the generic nature of the function; 2) the educational content; and 3) the implications for the role of NIE. A comparative analysis was then performed across the functions. Several common themes were revealed:

   - a requirement for NIE leadership
   - system building
   - orchestration as the major role

   Significant differences were found:

   - in relation to time frames
   - in the meaning of "excellence" for each function
   - related to key criteria for project selection.

2. Assessment of Educational R/D&I (December 1976)

   Institutionalized Research, Development and Innovation in education is little more than a decade old -- yet the capacity of the "system," our understanding of the system and our ability to manage it have increased significantly.

Radnor, Hofler and Rich suggest that there is now a need to develop and refine an analytical framework and a relatively unobtrusive monitoring system with which the educational R/D&I system could be assessed in terms of both progress made to date and of what might reasonably be expected in the future.

The analytical framework and the monitoring system could be developed from a growing knowledge of R/D&I in other sectors.

While analysis of the educational R/D&I system showed the existence of weaknesses, the authors stress that what they found was generally about what one would expect to have found within a relatively young R/D&I system. There are weaknesses, but there has been progress and there are signs of the beginnings of a transition from the introductory stages of development.

3. Strengthening Fundamental Research Relevant to Education (August 1977)

One part of NIE's overall responsibility is fundamental (basic) research relevant to education. In order to better fulfill this responsibility, NIE sought the advice and council of the National Academy of Science (NAS). The Program Committee of the National Council on Educational Research (NCER) made a series of policy recommendations in response to the NAS report.

While Radnor, Hofler and Rich agreed with the NAS conclusion that fundamental research relevant to education does need strengthening, they found some significant and potentially very dysfunctional deficiencies in the NAS report and particularly in the NCER recommendations.

This policy analysis, then, was developed to call attention to issues not addressed previously; to place consideration of fundamental research in a broader perspective of a total process of innovation, of NIE's more broadly scoped roles, and of the educational R/D&I context. In doing so, the authors hoped to provide a sounder basis for policy/strategy decisions related to the strengthening of fundamental research relevant to education.

4. Regionalism in the Educational R/D&I Context (December 1977)

The importance of regionalism as an issue for NIE must be viewed in terms of the interactive impact on NIE of two aspects of the educational R/D&I: the "regional" educational R&D labs and the political environment of NIE.

The authors, at the outset of their analysis, noted a lack of clear and common understanding about the concept of regionalism and therefore chose to attempt to understand it in ways that would be helpful to policy makers.

Their findings suggest that a case can be made "for" and "against" regionalism. The case against regionalism would include:

- instances where either a national or a local approach would be more appropriate;
- the existence of alternative approaches even when a regional approach is appropriate;
- the existence of a variety of constraints against regionalism (perhaps especially in education);
- evidence which suggests that "successful" regionalism is situation-specific and not generalizable;
- regionalism as an "added layer" which increases coordination requirements.

The case for regionalism would include:

- purposes which could potentially be served through a regional approach;
- purposes for which regionalism seems to be inherently appropriate (e.g., mediating national/local tensions and moderating centralization/decentralization issues);
- evidence that at times forces and conditions do converge in a manner very supportive of regionalism.

The case for regionalism becomes stronger when approached from the perspective of accomplishing a portfolio of synergistic forces (as contrasted to designing a regional approach to serve some single purpose).

Analysis of regionalism suggests several critical elements which must be considered interactively when designing for regionalism:

- purposes
- timelines
- scope
- contextual opportunities and constraints
- levels of maturational development

- key participants
- regional characteristics
- incentives

Some possible roles in the design and operation of regionalism are suggested for an agency such as NIE: an orchestration role; supporting and facilitating existing regional activities and arrangements; stimulating or initiating new (or rearranged) regional activities; and a "buffering" role.

5. A Contextual Approach to Program Planning (September 1977)

This analysis does not provide a completed policy study, but was submitted to NIE as a think-piece.

The paper focuses on the political context of the program planning process, but recognizes that NIE functions at the intersection of the political and scientific systems of which it is a part. The recommendation is made that program planning be conducted within a two-dimensional framework:

- program level (political system building)
- project level (R/D&I system building).

6. R&D Coordination in the Social Science Context (November 1977)

Coordination is a critical issue from a number of perspectives: among the various R/D&I functions; between knowledge producers and knowledge users; among the various institutions and across the various programs within a specific R/D&I function; in terms of R/D&I system maturation and development; between funders and the "field." Further, R&D coordination is particularly problematic in the social science context.

The type of issues which the authors believe to be critical for R&D coordination in the social science context are:

- R&D system maturation
- emergent processes of coordination
- lead roles and agencies
- the nature of problems associated with the purposes social science R&D coordination might be intended to serve.

7. Analysis, Selection and Planning of Programs and Projects by the Division of Industrial Energy Conservation of the Energy R&D Administration: Phase One Report (September 1977)

This report is a "phase one" report. It provides a basic outline of an analysis, selection and planning system in the form of flow charts and of specific questions to be raised at various stages of the selection and planning process. These are tentative and will require considerable interaction with INDUS personnel in order for the system design to be tailored to the specific context and needs of INDUS. This will be the focus of "phase two" of this project.

8. A Contextual Approach to Development and the Role of Technology in Developing Countries (September 1977)

The subject of the role of technology in development of Less Developed Countries (LDCs) has received a great deal of attention in economic, science policy, R&D management and innovation literatures. To date, however, the authors report that knowledge is fragmented and often conflicting.

The need was identified for a framework of analysis that could identify the rich complex of variables (political, economic, social, cultural, technological) that needed to be considered, and within which the tensions could be resolved. Criteria for determining what makes a given technology appropriate and for determining the choice of techniques were needed. In addition, identification of "appropriate products" and "appropriate R&D systems" was deemed essential. The problems, according to the authors, clearly called for a contextual analysis. Existing bodies of theory and current political issues (national and international) are being embedded in the analytical scheme.

Title: Linking R&D with Schools: An Interim Report

Author: Karen S. Louis, James Molitar, Greg Spencer, Robert Yin
Abt Associates, Inc. September 1979

Theme: This report presents interim findings from the study of the Research and Development Utilization Program (RDUP), an NIE-sponsored effort initiated to close the communications gap between the producers and consumers of knowledge. An "action research" effort, the seven RDU projects assisted local schools to improve their capabilities in the areas of rational problem solving and utilization in order to strengthen local administrative and instructional capacity. A second goal of the RDU Program was to add to existing knowledge about the design, operation, and results of dissemination programs in education.

Key Points: Established by NIE in 1976, the RDU Program emphasized a research-based, rational approach to local school improvement through the use of existing, validated products of federally funded research and development activities. When compared with other federally funded strategies designed to improve the educational system, the RDU Program was unusual in its approach because of the equal concern with the use of R&D products and the development of local organizational capabilities to solve problems. A major component of the program was the use of intermediaries, or linking agents, to work directly with local project schools.

A great majority of the schools participating in the program are implementing validated R&D projects that are relevant to locally defined problems in the area of basic skills and career education.

Schools participating in the program are engaging in more systematic needs assessments than they did prior to involvement in the program and hope to apply this process to other problem areas in their schools.

Individual teachers actively involved in the program report personal development in leadership skills, awareness of R&D products, problem-solving skills, and teaching techniques.

Services of educational linking agents are valued by schools involved in the program. Linkers are perceived primarily as facilitators of school decision making rather than as decision makers.

Most participating RDU projects are looking for ways to maintain their functioning now that NIE funding is ended.

Most RDU projects do not offer major financial support to the participating schools and districts. However, some financial support appears to be critical to successful involvement in the program, particularly to subsidize release time for personnel involved in the problem solving team.

The study suggests that the RDU Program strategy may represent a potential centerpiece among federal efforts. Four reasons are suggested for this. First, the program was both product- and process-oriented and thus capable of yielding useful information about the advantages of each strategy for improving school and student performance. Second, most of the program was directed at basic skills curriculum, an area which local school systems have been under public pressure to improve. Third, the program was designed to improve the organizational capabilities of local school systems, thereby attempting to make these systems better users of R&D and better implementers of improved practices. Fourth, the program involved a network-building effort which may, in the long run, improve the intergovernmental structure for linking federal, state and local education activities.

LINKING R&D WITH SCHOOLS: AN INTERIM REPORT

Karen S. Louis, James Molitar, Greg Spencer, Robert Yin,
Abt Associates, Inc. September 1979

This report presents interim findings from the study of the Research and Development Utilization Program, an NIE-sponsored effort initiated to close the communications gap between the producers and consumers of knowledge. An "action research" effort, seven RDU projects assisted local schools to improve their capabilities in the areas of rational problem solving and utilization in order to strengthen local administrative and instructional capacity. A second goal of the RDU Program was to add to existing knowledge about the design, operation, and results of dissemination programs in education:

The major objectives of this interim report are:

- To describe the similarities and differences in structure and function which exist among the seven projects operated under the RDU Program.
- To examine the first steps taken by schools as they attempted to develop new school improvement strategies, particularly the problem identification process and its outcome.
- To describe the role of the external linking agents who represent a key strategy for delivering technical assistance and information to local schools.

Findings are based on preliminary (1977 and 1978) data; the major topic of program outcomes is addressed in only limited ways.

The Research and Development Utilization Program

Established by NIE in 1976, the RDU Program emphasized a research-based, rational approach to local school improvement through the use of existing, validated products of federally funded research and development activities. Major objectives of the program were:

1. To help schools alleviate specific, locally defined problems in the areas of basic skills and/or career education.

2. To help school and community personnel learn about the products of educational R&D.

3. To increase understanding of how the local program improvement process can be better managed and become more effective.

When compared with other federally funded strategies designed to improve the educational system, the RDU Program was unusual in its approach because of the equal concern with the use of R&D products and the development of local organizational capabilities to solve problems.

Each participating school site in the seven RDU projects was given external assistance in:

- Identification of a problem or set of problems,
- Examination of alternative solutions to the problem,
- Selection of specific R&D products,
- Implementation of new practices within the appropriate setting,
- Incorporation of a solution and evaluation of the entire process and its results.

Most of the problem-solving efforts were focused in reading, mathematics or career education. A major component of the program was the use of intermediaries, or linking agents, to work directly with local project schools.

The RDU Projects

While the organization and functioning of each project was different, certain significant commonalities were found in the structure of support services provided to local schools:

- The operation of a project headquarters to coordinate the services supplied directly to project schools;
- The development and administration of a knowledge base composed of validated research and development outcomes;
- The development of training and technical assistance components to serve project personnel who were providing school-based services and, in some cases, for school personnel;

- The development of project evaluation and research activities designed to augment a national research data base and to facilitate local self-evaluation.

Preliminary Findings

Data collection activities, including site visits to participating schools and detailed interviews with project participants, are leading to a number of emerging "findings" which the authors believe will be supported by a more systematic analysis:

- A great majority of the schools participating in the program are implementing validated R&D projects that are relevant to locally defined problems in the area of basic skills and career education.
- Schools participating in the program are engaging in more systematic needs assessments than they did prior to involvement in the program and hope to apply this process to other problem areas in their schools.
- Individual teachers actively involved in the program report personal development in leadership skills, awareness of R&D products, problem-solving skills, and teaching techniques.
- Services of educational linking agents are valued by schools involved in the program. Linkers are perceived primarily as facilitators of school decision making rather than as decision makers.
- Most participating RDU projects are looking for ways to maintain their functioning now that NIE funding is ended.
- Most RDU projects do not offer major financial support to the participating schools and districts. However, some financial support appears to be critical to successful involvement in the program, particularly to subsidize release time for personnel involved in the problem solving team.

The study suggests that the RDU Program strategy may represent a potential centerpiece among federal efforts. Four reasons are suggested for this. First, the program was both product- and process-oriented and thus capable of yielding useful information about the advantages of each strategy for improving school and student performance. Second, most of the program was directed at basic skills curriculum, an area which local school systems have been under public pressure to improve. Third, the program was designed to improve the organizational capabilities of local school systems, thereby attempting to make these systems better users of R&D and better implementers of improved practices. Fourth, the program involved a network-building effort which may, in the long run, improve the intergovernmental structure for linking federal, state and local education activities.

APPENDIX A

SEVEN PROJECTS

The following brief descriptions of the seven projects indicate the distinctive features of each. These data were collected for the Abt study from demographic surveys, pre-project documents, and project administrative reports written early in the life of each project.

Northwest Reading Consortium (NRC). This project, under the overall direction of the Washington State Education Agency, operated as a consortium of four states in the Northwest: Washington, Oregon, Alaska, and Idaho. The consortium built upon the states' existing Right to Read (R2R) programs; each of the approximately 40 participating schools was an R2R school.* Considered an extension of the R2R experience, the project provided the schools with the knowledge and resources to seek R&D-based solutions to problems identified through comprehensive needs assessments. Support services were provided to the local schools by a full-time linking agent housed in each of the four linking agencies, which included intermediate service districts in Washington, Oregon, and Alaska, and a university in Idaho. An additional affiliate of the consortium, the Northwest Regional Educational Laboratory (NWREL), was responsible for training the linking agents and also for compiling the knowledge base of available R&D products to which the schools could refer.

The Northwest Reading Consortium's RDU project served 40 schools with an average of 594 students in each school site. The racial composition of the participating student body was 94 percent white, three percent

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*Right to Read is a nationwide program sponsored by the U. S. Office of Education to eliminate functional illiteracy.

Native American, and less than one percent each of Hispanics, Blacks, and others. While all grades were serviced by the project, about half of the schools served only grades K-6. Thirteen percent of the NRC sites were located in urban communities, 30 percent in suburban, 33 percent in rural, and 23 percent in mixed areas.

Georgia Department of Education. The emphasis of the RDU project in Georgia was on building local education agency (school district) capacities in the early stages of planning and program selection. To achieve this purpose, services and funds were provided to 38 participating school districts to assist them through these early stages. The implementation phase of the problem solving model was subsequently carried out with federal funds available through the state department of education under Title IV-C of the Elementary and Secondary Education Act. The school districts participating in the project were located in three of the state's 16 intermediate service agencies, each of which employed from one to four linking agents (most of whom served part-time in this role) to assist the local school personnel in carrying out their planning and program selection activities. The extent of involvement of these linking agents in local activities varied considerably; some offered extensive personal assistance and consultation and others simply monitored and provided liaison to project staff at the state level.

The Georgia RDU Program was implemented on the school district level. The average number of students served was 2,700 per local education agency, or 528 per school. Roughly 67 percent of the students were white, and the remaining 33 percent were black.

All but two of the local education agencies were reported to be in rural districts, with the remaining two being categorized as either urban or mixed. The average size of the community, based on 25 reports, was about 18,000.

Pennsylvania Department of Education. The participating resource agencies of the Pennsylvania RDU project, in addition to the Pennsylvania Department of Education, were Research for Better Schools (a regional educational laboratory), Research and Information Services for Education (an independent information and dissemination service), the Learning Research and Development Center at the University of Pittsburgh, and two of the state's intermediate service agencies. Two full-time linking agents served as the primary project contacts for their respective schools and coordinated all project services to those schools. In addition, they frequently visited the schools to carry out needs assessment activities and to assist in group planning and decision-making sessions. The project's problem-solving model, which was developed by the participating resource agencies, involved numerous defined steps, including a series of formal sessions at the school sites. These sessions were attended not only by the local action team and the linking agent, but also by a team of resource agency personnel.

Fourteen (82 percent) of the seventeen schools in this project were elementary schools (grades K-5); the other three were middle schools (grades 6-8). The average site served about 440 students. Eight-eight percent of the students were white, seven percent Hispanic, and a little over one percent Black.

National Education Association. The National Education Association (NEA) operated its project in collaboration with the state education agencies and corresponding state education associations in 12 states: Alabama, California, Iowa, Massachusetts, Michigan, Minnesota, Ohio, Pennsylvania, Tennessee, Washington, Wisconsin, and Wyoming. In contrast to most of the other RDU projects, this project focused on the improvement of teacher in-service education. Local in-service education committees in approximately 60 school districts decided on local needs for teacher in-service education and communicated these needs (via a toll-free telephone call) to one of two information specialists in NEA's Washington, D. C., office. Using an information system that contains descriptions of hundreds of in-service training programs, the information specialists then selected those in-service training packages that seemed most approriate and sent descriptions of these packages to the site. On-site support for needs assessment and problem identification was provided by two linking agents in each state who also trained the local staff in ways to utilize the information system. One of these linking agents (state facilitators) was a staff member of the state education agency, and the other was on the staff of the state education association. Each committed about 10 to 15 percent of his or her time to the RDU project.

This project served 57 sites and, like the Georgia RDU project, operated primarily at the district level. Unlike Georgia, however, the NEA project also had individual school sites which were part of the project. Over 120 schools were involved in the project, with a mean pupil enrollment of 609. The racial distribution of students was 84 percent white, 10 percent Black, 2 percent Hispanic, and 1.5 percent Oriental.

Florida Department of Education. Under this project, the Florida Department of Education began development of a linkage system involving the department, the state universities (including among them Florida State University and the University of Florida), eight of the state's Teacher Education Centers (TECs), approximately 30 schools in the eight TEC areas, and various other agencies. A distinctive feature of this project is that training in group problem-solving techniques was provided not only to the linking agent (one of whom is located in each TEC), but also to selected local school staff, called school site facilitators. The school site facilitators, with the help of their respective linking agents, were responsible for leading the staff at their sites through the entire problem-solving and knowledge-utilization process. The TEC linking agents played an important monitoring and facilitating role. Their involvement with the project ranged from half- to full-time. Each school was also assigned a university-based linker who played a less active, consultative role.

With the exception of the Georgia and NEA projects, Florida's individual sites served more students (17,943) in its 28 sites than any of the other projects, with a focus on reading and math curriculum projects.

All 28 of these schools were at the elementary level. Sixty-four percent of the students were white, 31 percent Black, 2 percent Hispanic, and less than one percent each of the other categories. Almost half of the schools were located in areas identified as rural.

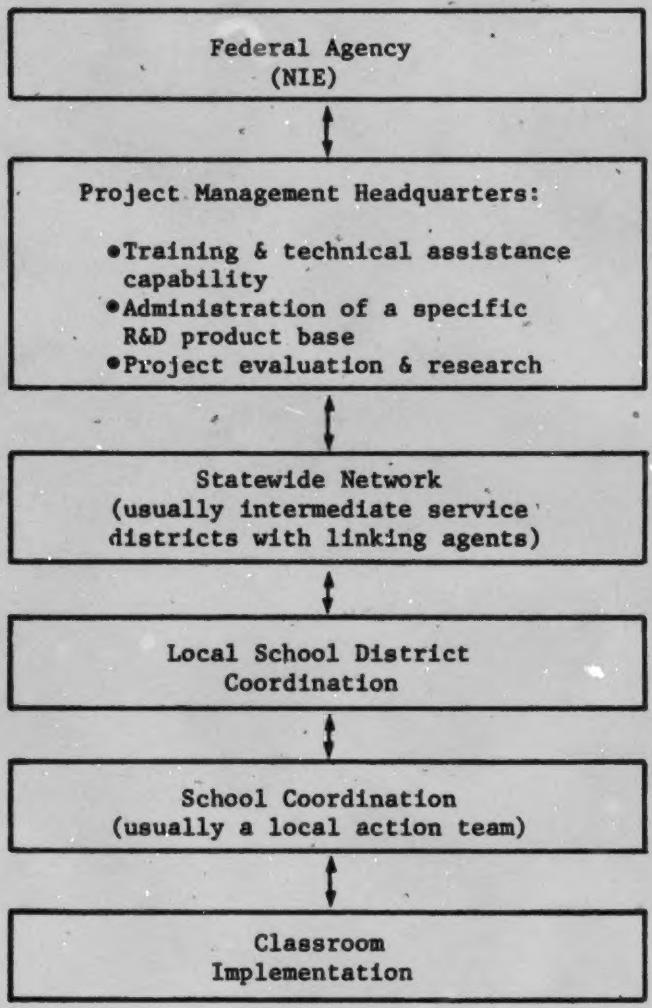
Michigan Department of Education. The RDU project in Michigan was designed to help local sites meet the requirements of state career education legislation passed in 1974. One of the project's major objectives was to develop a permanent dissemination and diffusion system in career education. Because of this emphasis on permanence, the project attempted to work with existing structure rather than build new ones. Part of this strategy was to use as linking agents the 49 Career Education Planning District (CEPD) coordinators located within the state's participating intermediate service agencies. The CEPD coordinators were responsible for monitoring, assisting, and documenting project-related activities at the site level. However, this project differs from most of the RDU projects in that it placed less emphasis on the linking agent role; in fact, the project provided no salary support for the CEPD coordinators. The primary strategy was to provide direct training and programmatic funds to coordinators who were staff members at the local sites, thus building the sites' internal capacity for pursuing a problem-solving sequence and implementing innovative programs in career education. Forty-nine school or school district sites (one each in all but five of the state's 54 intermediate service districts) were assisted through this project. No data on school or district characteristics are presently available.

The NETWORK. Under the overall management of The NETWORK, a non-profit research and service organization in Andover, Massachusetts, a consortium of agencies in six states was formed to improve the utilization of R&D projects in reading in selected local schools. The six-state consortium was designed so that the member agencies would reflect a variety of organization types. In Minnesota, the agency involved was a teacher center associated with a university; in Washington, a local school district; in California, a regional educational laboratory sponsored by NIE; in Kansas, an independent statewide education diffusion organization; in Connecticut, a cooperative service agency supported by local school districts; and in Massachusetts, a division of The NETWORK itself. Approximately 25 school sites were served by the project's linking agents, who were committed to the project approximately full-time. Particular importance was given to their role as managers of the change process who coordinated both the internal and the external resources necessary for problem solving and R&D product utilization. A considerable amount of direct technical assistance and support was provided to the linking agents by the central project office.

The NETWORK consortium's RDU project served 26 schools with an average of 652 pupils per school. Of all the RDU projects, The NETWORK consortium served the largest percentage of urban sites. Thirty-six percent of the schools were in urban areas, 14 percent were in mixed areas, and the remainder were rural or suburban.

APPENDIX B

RDU PROJECT STRUCTURE


Federal Agency
(NIE)
Project Management Headquarters:
●Training & technical assistance capability
●Administration of a specific R&D product base
●Project evaluation & research
Statewide Network
(usually intermediate service districts with linking agents)
Local School District Coordination
School Coordination
(usually a local action team)
Classroom Implementation

Title: Preparing for Dissemination: A Study of Technical Assistance for Developer-Demonstrator Projects in the NDN

Authors: Susan L. Harris, Jeffrey Eiseman, Richard Harris, J. Alan Doyle and David Crandall
The NETWORK, February, 1979

Theme: This report presents a description and analysis of the Title I Support System which was implemented in November, 1977 under a USOE contract to The NETWORK. The Support System was designed to provide technical services and support to 21 exemplary Title I projects participating in a special dissemination strategy.

Key Points: The study found that Developer-Demonstrator projects need:

- Knowledge and skill in dissemination and strategies
- A high level of motivation and a positive dissemination attitude
- Support for national dissemination from administrative personnel in their district
- Specific, structured opportunities for orientation and integration into the National Diffusion Network, especially when they are new
- A reasonable amount of time to plan and prepare for national dissemination before actually engaging in outreach activities
- Information and assistance to insure that they realistically anticipate and plan for the time and energy that national dissemination requires
- An opportunity to think through and define what it is they are offering for adoption and what their adoption procedures will be before engaging in full-scale dissemination
- Information and straight answers concerning policies, regulations, and political realities that may affect their dissemination efforts
- To plan their dissemination activities over a longer period than a year at a time
- Access to technical assistance and support, especially when they are new

Conclusions concerning technical assistance which were derived from this study are:

- Technical assistance should not be limited to addressing purely task-related needs
- Technical assistance can be provided in many different forms
- It is important for the technical assistance staff to have knowledge of the requirements for the client group as those requirements relate to the context within which the clients must function
- It is important for the technical assistance staff to develop relationships with the clients they are trying to serve
- The attitude of the technical assistance staff toward the clients they serve is important
- It is important for the technical assistance staff to have a collaborative relationship with program personnel in the funding agency

Recommendations: Resolution needs to be made of the discrepancies between the federal priorities a dissemination project needs to meet and the local priorities the project was designed to serve.

Direct involvement of local district personnel with federal officials, particularly for orientation and discussion of goals, will help put district personnel in touch with the realities of the national context.

Time to develop dissemination goals and outline dissemination plans is essential prior to actually engaging in dissemination activities.

Economies of time and money can be realized by a technical assistance system with the flexibility to provide services in different forms at different times, and with the skill to know when to use and how to manage a variety of service modes.

PREPARING FOR DISSEMINATION: A STUDY OF TECHNICAL ASSISTANCE FOR DEVELOPER-DEMONSTRATOR PROJECTS IN THE NDN

Susan L. Harris, Jeffrey Eiseman, Richard Harris, J. Alan Doyle and
David Crandall, The NETWORK
February 1979

This report presents a description of the Title I Support System effort and an analysis of what that experience suggested to the people who implemented the project and to the people who observed it.

The Title I Support System, a USOE contract, was implemented in November 1977 by The NETWORK to provide technical services and support to 21 exemplary Title I projects. These projects were participating in a special dissemination strategy jointly sponsored by three USOE agencies.* The Support System project had two major components:

- A service delivery component which provided technical assistance to Title I and Migrant Education projects selected as targets for dissemination to Title I schools across the country.
- A study component which was to document, analyze and report on the technical assistance activities and transactions between the Support System and its clients.

The purpose of this report (the product of the Support System study component) was to provide information and recommendations to USOE program personnel responsible for designing and monitoring national dissemination strategies and supporting technical assistance efforts.

Support System Component

The Support System provided technical assistance to the 21 Developer/ Demonstrator projects in what was characterized by the authors as a "highly proactive, personalized and flexible" manner. A single full-time

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* The Division of Educational Replication (National Diffusion Network); the Division of Education for the Disadvantaged (Title I); and the Office of Planning, Budgeting and Evaluation (now the Office of Evaluation and Dissemination).

Project Director functioned both as the technical assistance contact person for the 21 clients and as the manager of all services provided by the Support System. Consultants provided some services to client projects; the Project Director provided other services directly.

Several different forms of technical assistance were available; individual project consultation (in-person, telephone); information and resource services in response to individual project needs; management of production of awareness materials. Resource packages, technical assistance workshops and regular news bulletins represented forms of group assistance given. A significant aspect of group-administered technical assistance was the emphasis on networking--linking the client projects with one another in order to facilitate their sharing of resources and support.

The design of centrally-managed delivery of technical assistance in several forms was influenced by four assumptions:

1. Technical assistance is an intentional activity. The technical assistance agency should therefore take the initiative in discerning client needs and provide required services.
2. Technical assistance is a helping activity that requires a building of trust, mutual respect and credibility between client and helper.
3. The design and delivery of technical assistance services must be influenced by the goals that clients must achieve and the political and logistical features of the context within which the clients must operate.
4. A technical assistance system should function as a network within which members initiate and maintain communication around specific problems and about strategies to solve the problems.

These assumptions, derived from The NETWORK's previous technical assistance experience and from the literature, directed the Support System approach of: strategies directed at proactive involvement with clients; an emphasis on defining client's tasks and operating context; and the development of personalized relationships with and among the clients.

The Study Component

Both quantitative and qualitative data were gathered; much information for the study came from the documentation system maintained by the technical assistance staff. In addition, field observations and interviews with clients and technical assistance staff were conducted.

Findings

1. Five categories or areas within which projects experienced needs for assistance were found:

- Needs for orientation
- Needs for moral and logistical support
- Needs for help related to specific dissemination tasks
- Needs for help with management tasks and concerns
- Needs for information and assistance relating to others in dissemination

2. Technical assistance services provided to meet projects' needs were available in eight different forms. Five were individually administered (e.g., on-site visits, telephone consultations, etc.) and three forms were group-administered (e.g., workshops, group mailings or resources, etc.). The majority of transactions focused on needs related to:

- Creating awareness
- Securing adoptions
- Providing training
- Developing relationships with others in dissemination
- Sorting out logistics
- Addressing orientation concerns

3. The study found that projects that used the most technical assistance and the greatest number of different modes of assistance were:

- Those who were newest to the job
- Those whose projects had had the least NDN exposure
- Those who recieved clear messages from the funding agency that they were expected to use technical assistance
- Those who had a bigger or more complex set of dissemination tasks
- Those who entered the NDN with a Title I sub-network identity

Time commitment and funding level did not appear to influence the amount of assistance used, but possibly did influence the use of modes of assistance that required project expenditures.

Three qualitative characteristics were judged to be of significance with regard to variations in technical assistance provided:

- The extent to which the project recognized problems as being solvable through technical assistance
- The extent to which the project was receptive to being helped
- The extent to which the project was willing or able to engage in problem clarification prior to seeking specific forms of assistance

4. Seven contextual or environmental factors were found to have influenced the delivery and use of technical assistance:

- The Title I/NDN dissemination strategy provided a structural framework which facilitated the delivery of technical assistance
- The responsiveness of USOE personnel to collaborating with the technical assistance agency in addressing problems and issues of concern to the projects aided the delivery of technical assistance
- The point in the client project life cycle when the technical assistance was made available influenced the extent to which the long-term technical assistance planning occurred
- The limited duration of the Support System contract and the relatively low level of funding limited the extent to which the needs of more capable projects were addressed

- The availability of technical assistance sources other than the Title I Support System influenced the extent to which some projects used Support System services

- The changing focus of the projects' concern as the adoption cycle progressed from awareness to training to implementation influenced the focus of the assistance provided

- The general condition of organizational health in the district housing the D/D project influences the project's need for and receptivity to technical assistance

5. The overall utility and the effects of the technical assistance received were rated positively by the 21 Developer-Demonstrator projects. Those areas rated as most useful were assistance related to:

- Training adopters
- Moral support and encouragement
- Logistical support
- Developing awareness materials
- Documenting awareness activities

Projects reported five areas in which the most improvement occurred:

- Understanding the dissemination process
- Securing adoptions
- Determining adoption criteria
- Developing materials
- Training adopters

Conclusions

The study found that Developer-Demonstrator projects need:

- Knowledge and skill in dissemination strategies
- A high level of motivation and a positive dissemination attitude
- Support for national dissemination from administrative personnel in their district
- Specific, structured opportunities for orientation and integration

- A reasonable amount of time to plan and prepare for national dissemination before actually engaging in outreach activities

- Information and assistance to insure that they realistically anticipate and plan for the time and energy that national dissemination requires

- An opportunity to think through and define what it is they are offering for adoption and what their adoption procedures will be before engaging in full-scale dissemination

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- It is important for the technical assistance staff to develop relationships with the clients they are trying to serve.

- The attitude of the technical assistance staff toward the clients they serve is important.

- It is important for the technical assistance staff to have a collaborative relationship with program personnel in the funding agency.

DESCRIPTIONS OF COLLABORATIVE PROJECTS

Descriptions of Collaborative Projects

Staff members of 26 projects involving collaborative organizational arrangements were interviewed to determine significant elements in their effectiveness. Patterns of information across projects were identified relevant to their origin, development and operation.

Impetus:	The **impetus for formation** of a collaborative **varies widely** including: ● The availability of **funds** ● Creation of a **Task Force** or Commission to study a problem ● Existance of several **agencies with a common** or related purpose ● A priority of an **individual** in a decision making role ● **Widespread interest** in a problem ● The vested interest of a **single organization** ● Legislation or other **government action** In each case there is an **individual, organization or group** which is **highly committed** which takes **leadership in formation** of the collaborative.
Funding:	**Federal funding** is a **significant element** in the operation of **most collaborative efforts.** However, **local seed money** frequently was used for initial efforts.
Role:	Most collaboratives **do not view themselves as having any official power** to impose change. Instead, they emphasize the **collection and sharing of information and promising practices.**
Institutionalization:	As a project becomes institutionalized, the collaborative's goal frequently is to **turn to state and local support for the basic operation,** with federal funds as add on. Some collaboratives expect to be **permanently funded** from the **federal level,** and would not otherwise exist.
Equity:	**Virtually all** collaboratives have **equity as a purpose** to some extent; for **many** it is the **primary purpose.**
Organizational Arrangements:	The collaboratives have **educational improvement as their primary purpose,** yet many have recognized the need to **involve noneducational agencies** in significant ways. This is recognized as a **complex process,**
Technical Assistance:	Most collaboratives feel they **receive onlylimited technical assistance** and it usually is of an **informal nature.**
Conditions for Success:	The **time must be right;** there must be a real need and readiness to take action. A project must develop **credibility.** Effective **advisory groups** are crucial **Actions cannot be imposed from the top down.** There must be a **recognition that local needs are being met.**

Name: Alabama Environmental Quality Association

Target: Residents of the State of Alabama

Activity: Increased awarness about environmental issues

Impetus: The Alabama Environmental Quality Association began operation in 1967 and in 1972 received a grant from the Environmental Education Act. The impetus for its formation came from the need to solve problems of garbage collection, and solid waste disposal. Presently it is funded by the State Education Budget and private contributions.

Purpose: The purpose of the Association is primarily to broker the services of experts and disseminate information and resources on environmental issues through:

1. An environmental information clearinghouse
2. A talent bank developed in collaboration with the University of Alabama
3. A file library
4. Production of audiovisual resources
5. A monthly newsletter with particular emphasis on providing information to newspapers and the news media
6. A quarterly magazine supported by subscribers which presents environmental issues in Alabama and in the Southeastern region
7. Producing public service announcements for radio and television
8. Conducting several seminars during the year and making expertise available to communities on the basis of emerging needs
9. One large meeting in the fall designated as a Recognition Meeting

Development: The Association has attempted to increase the awareness of the State of Alabama about environmental issues. The program started with a structure patterned along districts of Regional Planning Commissions. It moved to a more centralized, statewide program with a firmer structure. At the present time, the regional concept is being reconsidered.

Organizational Interaction: The Association acts as a liaison between communities and agencies, between communities and experts. It provides a link among the local Chamber of Commerce, other local citizen groups and the various state and federal agencies. The Association functions as an intermediary collecting and disseminating information.

Impact: The results of the work of this Association have included:

- Creation of a Solid Waste Division within the State Health Department
- A Hazardous Waste Act growing out of seminars conducted in 1975
- Solid Waste Disposal Act of 1969
- Community revitalization programs
- William Bartram National Scenic Trail Study

Conditions for Success: The success of the Environmental Quality Association has depended a great deal on its credibility, on the use of people considered "movers and shakers" who have exerted influence appropriately and on a highly qualified staff with a well-formulated environmental philosophy.

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Name: Alaska Native Foundation

Target: 21 School Districts in Rural Alaska

Activity: Development of special curriculum to meet the problems inherent to the operation of "small schools;" the creation of an Alaska Native Cultural Institute

Impetus: The Alaska Legislature created 21 area school districts to address the needs of children in rural areas, primarily Alaska Natives.

Purpose: To help meet the needs of these local districts, the Alaska Native Foundation was formed three years ago to facilitate cooperative efforts to:

- Define approaches to the education of native Alaskans
- Make provision for appropriate educational approaches for seven different subcultures with seven major languages
- Improve communication
- Motivate and stimulate action
- Increase the flow and amount of resources

Equity: Inherent in the purpose of the Alaska foundation is a focus on unserved and underserved populations of Alaska.

Organizational Interaction: The following organizations participate, interact, contribute and receive the benefits of the interorganization arrangements provided by the Alaska Native Foundation:

- Superintendents Association of Alaska
- Alaska School Boards Association
- Individual school boards
- University of Alaska
- Alaska Department of Education
- Committees of the State Legislature

Funding: The Alaska Native Foundation receives funds from:

- Individual school districts
- The State of Alaska
- Private foundations
- North Slope Borough

Strategies: The foundation carries out its purpose by:

- Collecting and sharing information
- Facilitating a mutuality of common interests among the various subcultures
- Monitoring a concerted advocacy of equity for Alaskan natives
- Providing direct problem solving
- Inventing new solutions
- Providing administrative updates for superintendents, principals and school board; defining their roles as educational leaders as opposed to money managers of their schools

Organizational Arrangements: The organization of the foundation's activities has all four elements. It is organized regionally (geographically). It implements specific programs/products. Activities are organized around issue related efforts to improve school practice and they focus on special population groups.

Conditions for Success: The lack of understanding by federal agencies of the unique and specific needs of native Alaskans inhibits the success of foundation activities. The organizational arrangements of the 21 districts, with the provision for local governing boards and committees, are important for their successful operation.

Institutionalization: In the years ahead the logical funded "off spring" will be the Alaska Native Cultural Institute.

Contact:

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Alaska Native Foundation
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Name: Charlotte Drug Education Program - Drug Abuse Prevention

Target: Schools, Community, Business

Activity: Prevention of drug and alcohol abuse

The ombudsman is one of the programs offered. The program is targeted to the community at large. Three service delivery teams, one in the schools, one in the community at large and one in business and industry, are used to conduct alcohol and drug prevention programs.

Impetus: The program started in 1971 with a gift from the local Junior League of Charlotte.

Equity: There are times when the funding application requires a list of minimum percentages of subpopulations that will have services offered.

Funding: After initial funding by the Junior League, federal funds were secured from LEAA (Law Enforcement Assistance Administration). To get funds from the state required matching with local county governments funds.

Strategies: Program strategies include:

- Engaging in information sharing
- Inventing new solutions
- Replicating a solution already invented

Organizational Arrangements: The project goes into schools upon invitation. The "ombudsman" program is an inclass program to work with students and teachers. The school board requests presentations to them to keep them informed of activities in the system.

The chairman of the school board is on a review committee that signs off on the surveys carried out in schools.

Agencies involved include:

1. The Local County Commission
2. Local Mental Health Authority
3. State Drug Commission
4. Western Region Mental Health Office
5. National Institute on Drug Abuse
6. Department of Education
7. State School Board

Technical Assistance: Various types of assistance are received:

- Assistance in filling out forms (local, state, federal)
- Help in producing brochures from other drug prevention agencies in the country
- Access to films from commercial publishers, Planned Parenthood, public library, state coordinator in drug abuse.

Conditions for Success: The project must have credibility.

Support from Junior League makes many volunteers available.

Institutionalization: The goal is to have the local and state dollar support the foundation of the organization and use federal money as add on.

Contact:

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Name: Chicago Alliance for Collaborative Effort: Juvenile Justice Task Force

Target: Troubled Youth

Activity: Foster a better system for delivery of youth services

Impetus: The Juvenile Justice Task Force was created in 1974 as part of the Chicago Alliance for Collaborative Effort. The task force emerged as a response to the fragmentation in youth services at the policy, funding and service delivery levels.

Purpose: The four goals of the CACE Juvenile Justice Task Force are:

- Provide information sharing and consultation on the current status of juvenile justice activity
- Develop a research and information clearinghouse to retrieve, analyze and disseminate information (in Cook County) related to youth data, service ability, service needs and new program planning data
- Develop a network of administrative, legislative and legislative advocacy services to review and monitor existing service and develop and review capability related to the legislative process and policy development
- Coordinate a process to bring together, on a regular basis, expert individuals from the academic, governmental and private sectors

Development: By January 1976, nineteen agencies (both public/private sectors) were members of the task force. These agencies, now expanded to 39, are active in the fields of advocacy, planning, research and service delivery to youth--particularly in the areas of juvenile justice.

Organizational Interaction: Task Force membership includes agencies, citizens' groups and consumers whose primary focus is youth problems and youth service delivery. Currently, the Task Force has a membership including 26 private agencies or representative networks spanning both traditional and alternative service delivery systems and citizens' groups and 13 public agencies, commissions, departments and code departments representing Federal, State of Illinois, Cook County and City of Chicago service delivery systems.

What is unique about this collaborative process is the volunteer nature of the work. The CACE Juvenile Justice Task Force is not a legal body; the membership participates because they feel the Task Force provides the opportunity to do what they cannot do within their own structure.

Funding: A budget of approximately $100,000 is provided by private foundations such as the Joyce Foundation and Chicago Community Trust; stable funding is now provided by the "collaborative" section of United Way ($30,000). Only 10 per cent of their funding comes from the public sector; it is used strictly for a designated project.

Strategies: The Task Force uses a number of strategies including:

- Promotion of information sharing among Task Force members
- Promotion of cooperation and integrated planning among Task Force members
- Collection, analysis and dissemination of data relevant to youth problems
- Use of advocacy to promote reforms in the area of service to youth and in the Juvenile Justice system
- Promotion of youth participation in all aspects of the planning and implementation of service delivery

Primary incentives for participation are: (1) the information sharing possible through the collaborative, (2) the ability/opportunity for people to contact and interact with one another and (3) access to "major actors" in the local system.

Organizations involved contribute: (1) shared emotional support, (2) programs/ideas and (3) people and/or work time.

Institutionalization: Support for the collaborative comes from two major points: (1) a whole "set" of networks/collaboratives (geographical/issue related) that support and interact with each other and (2) personal influence, contacts achieved by members.

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Name: Congress of Racial Equality (CORE)

Target: 85 Chapters Nationwide

Activity: Self--determination, economic, educational, cultural equality of minority groups

Impetus: In the 30s and early 40s CORE became a major force on Civil and Human Rights in this country. CORE was founded around these issues by a group of Ghandi's disciples. Jarvis Farmer and a group of his fellow students started the movement in Chicago. The organization started formally in 1942, and carried the struggle for human rights of the 1940s.

Purpose: CORE has been in the cutting edge of the civil rights movement developing new techniques and approaches. It:

- Defines new techniques
- Motivates and stimulates action
- Creates a sense of community
- Shares experiences and learnings of "what works"

Development: The purpose of CORE has changed since it began based on the principles of Ghandi's civil disobedience. In the 60s it shifted to principles of Black power and economic development. In its beginning its membership was predominantly White, now it is predominantly Black. In the late 60s and 70s the organization adopted a full fledged Black nationalist pan-Africanist philosophy, which it still maintains.

Equity: Equity is a primary concern of CORE. A number of briefs and court actions have been taken with regard to community control of schools. CORE has fought for the rights of parents to choose the school where they prefer to send their children. CORE has testified before Congressional Committees for tuition tax credits to give parents vouchers on tax credits.

Organizational Interaction: The chapters of CORE are affiliated as a national organization and subscribe to a common set of policies.

CORE works with organizations such as NAACP, Urban League, SCLC, Project PUSH, and other major civil rights organizations.

Funding: CORE is a self-sustaining organization with over 50,000 subscribers or supporters.

Strategies: CORE uses the following strategies:

- Engages in information sharing
- Facilitates mutuality and promotes common interests
- Provides direct problem solving support
- Provides array of potential alternative solutions
- Provides legal aid and advice
- Provides new directions

Technical Assistance: CORE receives technical assistance from experts who support and encourage special projects and programs initiated by CORE.

Impact: A study comparing CORE schools and the schools in the Bronx, Manhattan and Brooklyn last December showed that students in public schools had the lowest possible achievement in reading while the CORE schools had an average of one grade above reading and writing.

Contact:

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Name: Cooperative Organization Nebraska Educational Service Units (CONESU)

Target: School Districts and Local Schools

Activity: Provision of supplementary educational services

Impetus: The CONESU--Cooperative Organization Nebraska Educational Service Units was formed two years ago by the Nebraska Association of Educational Service Units (ESU).

Purpose: The purpose of CONESU is to promote and protect education opportunities for all children in Nebraska through intermediate units and to provide supplementary education services to local school districts.

Development: One ESU had received a grant to establish a media center. It was decided to involve other units in a cooperative purchasing effort. An advisory group was formed to work with the units in coordinating orders. The concept grew. A formal contract with the units was used. It was decided to appoint a committee to maintain control of the operation, ensure benefits to all units cooperating and maintain continuity. ESU administrators decided that other services and efforts should be organized in the same way, that is, on a statewide basis.

At a two-day workshop for the directors of ESUs the following was done:

1. Determined areas of service that benefit statewide coordination
2. Established purposes and procedures
3. Produced a set of by-laws
4. Nine committees were formed

Each committee dealt with a service area:

1. Cooperative purchasing
2. Media, production, equipment repair
3. Inservice activities and consultants
4. Special education for the handicapped
5. Film video tape
6. Publicity and political activities
7. Computer services

8. Agency coordination for federal programs

9. Health services

Numbers eight and nine were placed on standby. The directors of the 19 ESUs divided themselves into nine committees. Everyone was on two or more committees.

The monthly meeting of ESU administrators is divided into two parts: (1) Committee meeting and work; and (2) other business, staff development, information from state department of education representative, etc.

Impact: Following are examples of results:

Cooperative purchasing has increased 500 per cent in ten years.

Media technicians maintain an information exchange, receive training together from media equipment companies, exchange equipment parts for quick repairs.

Nineteen nationally recognized consultants visited throughout the state widely making presentations inservice.

Inservice education is exchanged among units.

Special education committee has come up with a unified position on proposed legislation for the handicapped, based on input from wide state sources.

Program information is exchanged across the state.

Conditions for Success:

1. First assess the interest and the strength of the participating members.

2. Statewide problems identified should come from the local level.

3. Commitment is a requirement.

4. Find ways to designate areas of concerns and prioritize them. Leave it up to those who will be working with them to develop them.

5. Provide time for participation.

6. Don't impose things from the top down. Point out those things that can be resolved statewide, but leave it up to the participants themselves to develop it.

7. Most of the activities CONESU is involved in are things that are going on in schools and if we can find a more efficient way of doing them, they can become self-funding.

8. Concentrate on meeting local needs, avoid depending on the state level to determine what the needs are.

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Name: Crime and Disruptive Behavior Program of the State of Louisiana

Target: LEAs and other agencies in Louisiana that provide assistance with crime and disruptive behavior

Activity: Prevention of crime and disruptive behavior

Impetus: The Louisiana legislature recognized the need for programs to reduce crime and disruptive behavior, and appropriated funds for local school districts for this purpose. The incentive for maintaining the collaborative work comes from the leadership provided by the state program director and the involvement of various parish and LEA personnel.

Purpose: The program is designed to develop effective methods for prevention of crime and disruptive behavior. To do this, the program:

- Develops data bases to provide objective information for analyzing and defining problems
- Promotes and supports relevant programs of the National Diffusion Network
- Motivates and stimulates action
- Creates a sense of community, i.e., a common family of interests
- Shares experiences and learnings of "what works"

Development: The collaborative is in its infancy. A task force was formed to begin identifying needed data. The intention is to involve more LEAs in the collaborative and increase efforts that will facilitate and impact curriculum development.

The State Superintendent has strongly supported the program and is able to relate it to the emphasis on competency based education in the state.

Equity: The program is designed to serve all children in Louisiana public schools. However, because of higher rates of crime and disruptive behavior among minority children, this group will receive special attention.

Organizational Interactions: Resource people from many other agencies that provide human and material resources are involved in developing program ideas.

Funding: All funds are provided by state appropriations.

Strategies: Strategies employed by the program include:

- Engaging in information sharing
- Facilitating a mutuality of common interests
- Providing direct problem solving support to LEAs
- Providing an array of potential alternative solutions
- Inventing new solutions

Organizational Arrangements: Initial activities are organized around 12 pilot programs in different areas of the state.

Technical Assistance: Technical assistance for the state program is provided informally by national and state agencies which have human and material resources.

Impact: At this early stage there is increased awareness and involvement of the LEAs.

A module for instruction on crime and disruptive behavior has been developed through the involvement of personnel from colleges and universities and a group of teachers who volunteered for this task. Five television programs have been prepared and presented.

Conditions for Success: There must be a recognition that the work of this program is vital and needed, and a willingness of people in LEAs to be involved.

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Name: East Central Curriculum Coordination Center

The East Central Curriculum Coordination Center, located in Springfield, Illinois, is one of six regional centers of the National Network for Curriculum Coordination in Vocational Technical Education.

Target: Secondary and Post-Secondary Vocational Education Teachers, State Vocational Education Personnel and Administrators. The audience for Center activities is local vocational educators in career education, vocational education and adult education, including secondary, post-secondary, vocational teachers and vocational education administrators primarily through the State Liaison Representatives (SLRs) in each state.

Activity: Curriculum development and utilization in vocational education

Impetus: The impetus for the Center came from the U. S. Office of Education/BOAE. The Centers were created to increase communication among states. Funding has not been consistent until the last two years.

Purpose: During the first years, beginning with 1971, the Center served as a vehicle for disseminating OE products in vocational education.

In recent years the scope of concern has widened to include strengthening linkages with the states by providing inservice, determining information needs, and providing technical assistance. One recent emphasis has been to avoid duplicating efforts among states and making better use of resources through the Center. In 1976 the Center was charged with identifying other dissemination activities taking place in the states and region and exploring possibilities of coordinating and using resources available.

Equity: Sex equity has been a priority. Numerous sex equity resource materials are made available, including extensive bibliographies.

Organizational Interaction: It has been difficult to enlist the interest and collaboration of other education agencies for vocational education efforts. Efforts at networking with educational and dissemination agencies have taken place by scheduling meetings of vocational education leaders at the same time and in proximity with national and regional education meetings.

Strategies: The primary strategies for Center operation are:

1. Information dissemination about vocational education products

2. Demonstrations of the use of products

3. Referral and brokering--putting people in touch with experts

4. Encouraging formation and maintenance of state resource centers, dissemination networks and state dissemination plans through inservice and technical assistance

Dissemination and utilization planning and other information and technical assistance to states, is emphasized.

Bettering relationships with other vocational education organizations and related groups (e.g., VIM, AVERA, ASTD) is currently being emphasized.

Organizational Arrangements: Examples of collaboration are the Center's work with the Wisconsin Vocational Studies Center to develop guidance and criteria for developing and modifying equipment in vocational education for the handicapped, and with the American Vocational Association in conducting surveys in states to determine exemplary energy programs.

The Center has been charged by USOE with working in close collaboration with the National Center for Research in Education.

The Center sponsors quarterly meetings for state people in vocational education.

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Name: Experience-Based Career Education

Target: Secondary and Post-Secondary Students

Activity: Orientation of youth to careers for academic study and use of community resources

Impetus: The impetus for organizing the project came from the U. S. Commissioner of Education in 1971.

A feasibility study was commissioned by USOE to determine whether or not students' use of the community could actually work in a regular academic program. Three regional laboratories conducted the feasibility study.

Development: USOE commissioned four laboratories (RBS, NWREL, FWL and AEL) in 1971 to develop programs from a common set of guidelines. Each lab was free to develop programs on an individual basis in the various local communities.

Each lab selected a host school district in 1972 as a collaborator. Students provided feedback on how well the processes were working.

Development of the program was completed in June 1975. Five pilot sites were selected for each lab. The evaluation of the four EBCE programs was submitted to JDRP. Three labs wrote plans for developer/demonstrator grants under NDN. NIE decided that in order for the laboratories to respond adequately to requests for information about the EBCE programs a broker system had to be established. Two staff persons from each laboratory were certified as trainers in each of the four programs.

In 1976 the Bureau of Adult and Occupational Education under OE designated EBCE as the exemplary program to be funded under Part D of the Vocational Education Act. The laboratories conducted a series of meetings in proximity to Philadelphia; Charleston, West Virginia; Portland, Oregon; and San Francisco to gain information on Experienced-Based Career Education.

School districts and states eligible for Part D funding selected one of the laboratories to work with them in developing their proposal. Forty-six projects received three year funding. After the third year, approximately 80 per cent of the projects were maintained by the school districts.

EBCE concepts and processes have been adapted for special groups:

Youth unemployment--Prime sponsors across the country identified and selected EBCE as a program to possibly reduce youth unemployment. The four labs again took a brokering role, got together with NIE project monitors and conducted a series of informational workshops for prime sponsors and people associated with CETA programs.

Handicapped--Several programs are now serving handicapped students in various school districts.

High-risk populations--EBCE adaptations are being implemented for students having difficulty staying in school, youthful offenders, teenage parents, etc.

Conditions for Success: Preplanning issues must be dealt with before implementation starts. It is extremely important for a school district to look at the ingredients in the local area which are necessary for effective implementation. Tailormade designs and plans are developed for each situation. Things to look for: local needs, the politics of a location, the quality of the relationship between the school and the business community.

Institutionalization: As a result of this EBCE effort, a new professional organization has emerged--the National Experience Based Career Education Association. The fourth annual meeting was held in February 1979 in San Antonio, and it has grown to approximately 200 members. The Association serves as a forum for EBCE practitioners and other interested parties.

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Name: Four State Project on Inservice

Target: State Departments of Education

Activity: Improvement of Staff Development

Impetus: The U. S. Office of Education took the initiative to establish a multi-state project where widespread interest existed and there was a demand for effective use of resources.

The four states involved had common needs.

Federal funds were available to develop a prototype for other state efforts.

The U. S. Office of Education and the four states had a mutual need which could be met in developing a prototype and state procedures.

Purpose: The purpose of the project is to provide greater access to materials, models and practices in inservice education, and to share experiences and learnings of "what works."

The project was for one year to develop a prototype model and develop products describing the state model for each of the four states.

Development: USOE expressed an interest in developing a prototype to the West Virginia Chief State School Officer. He invited the Chiefs in Michigan, Oregon and New York to join him in the project. A steering committee was formed with four persons from each of the four states. They met for two or three days at a time for work sessions.

The group became a cohesive and mutually supportive group because they had specific products to develop, firm timelines and assurance of benefits.

Organizational Interaction: Staff of the four State Departments of Education--Oregon, Michigan, New York and West Virginia--were directly involved, with other states invited to share their experiences and problems. Also involved were the National Council for States in Inservice Education (NCSIE) and several professional associations (NEA, ASCD, AASA).

Strategies: Strategies used in the project were:

- Information sharing
- Facilitating a mutuality of common interests
- Providing direct problem solving support
- Inventory of new solutions

Institutionalization: As a result of the joint collaboration of the four states, an informal network emerged. The pilot model and the other state models are being implemented.

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Name: Governor's Smoking and Health Project

Target: Total population of state with emphasis on K-12 in school system

Activity: Reduction of smoking by developing statewide model of anti-smoking activities

Impetus: The Governor created a Cancer Cabinet Committee and applied for funds from HEW which was looking for a statewide model.

Incentives for the project include people (Cabinet committee and 24-member project advisory committee), money (six month funding) and societal goals (reduction of cancer and potential for total health education).

Purpose: First priority purpose is to create a sense of community; to develop a local community model as well as a statewide model. Second purpose is to motivate and stimulate action at the state and community levels. Third priority is to share experiences of what works.

Development: The project started with the Governor's Cabinet Committee.

Maturation included establishment of the 24-member advisory committee (the real collaborative); then the Department of Education was contracted to select materials; finally local community action occurred.

Difficulties included: (1) trying to convince people in community that smoking should have as high a priority as drug and alcohol education and (2) the gap in understanding between professionals in health and education.

Equity: Smoking is a larger problem with minorities and low-income people; target communities include two major urban areas with high Black and Hispanic populations.

Media is being used for the general population (cable TV); there is a high impact in schools, not enough in communities; no "system" exists for accessing industry. Urban schools have been helped with gaining a total health education perspective.

Organizational Interaction: Interaction is being fostered between the Departments of Health and Education.

Private agencies such as the Cancer Society are important elements.

The Department of Education's Education Improvement Centers provide products. Advisory council provides emotional support.

Strategies: The major strategy is to facilitate common interests to develop a model of linkage. Second strategy is to engage in information sharing (materials and training). Another strategy is to use the medical society as an educator; yet another is to use churches (get anti-smoking materials into churches).

Impact: One evidence of impact is the community response to meetings--interest continues.

Ultimate impact is reduction of smoking, but there is no attempt to measure it. Evaluation focuses on linkage impact (the cooperative effort in development of the model).

Primary impact is on health education teachers (physical education, nurses, etc.).

Conditions for Success: Conditions for success in setting up a model and linkage of people in health-education include:

1. High visibility by location in Governor's office
2. Health-education people were looking for a topic for collaboration and this provided it
3. Membership on the advisory council

Difficulties include a historical gap between health-education professionals and the lack of a system to reach business and industry.

Institutionalization: Educational Improvement Centers are setting up total health meetings (taking it on as a priority just like remedial reading). A statewide conference (attended by Governor) gained support. Dissemination by Educational Improvement Centers will maintain support.

There is a need to convince policymakers that health-education is a "basic" just like the three R's and it should be a state priority.

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Name: Illinois Consultation on Ethnicity in Education

Target: Coalitions of ethnic groups

Activity: Building of a coalition among groups and individuals interested in education, human rights and intergroup relations

Impetus: The Illinois Consultation was begun 10 years ago by the Institute on Pluralism and Group Identity (IPGI) of the Jewish Committee. The IPGI tests programs that tend to bring Jews and other groups together in areas where the American Jewish Committee has established no policy. The IPGI suggests different ways of looking at an issue or problem.

Organizational Interaction: There are 150 duespaying members; the 30 organizational members range from Brandeis University to the Polish American Congress to the Chicago Urban League and local school districts. These are heavily ethnic and minority community organizations.

A steering committee is composed of all people who pay dues.

Funding: IPGI is a membership agency, with individual members paying dues of $10 per year and organizational members paying $30.

Strategies: IPGI operates the Heritage News Service, which publishes the newsletter "Heritage" and distributes it to over 4,000 people. In the long-range, it is envisioned as an ethnic and minority AP or UPI.

IPGI has worked with the Illinois Office of Education, U. S. Department of Health, Education and Welfare and local school districts to develop teacher training programs and curriculum materials to defuse intergroup relations problems. These incorporate the concept of mixing kids, parents, community groups and educators who are of various ethnic minority and religions.

Impact: The Consultation has attracted influential people who constitute the emergence of a new kind of American identity called "dual pluralism."

Conclusion: Foreign languages are increasingly important. Language is an issue in American education (bilingual education, literacy), as well as in social services and foreign trade and policy.

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Name: Institute of Learning and Teaching

Target: Teachers in the Greater Boston Schools

Activity: Improvement of Educational Practice

Impetus: The Institute was organized in 1970 and was supported by the Ford Foundation during its first three years.

Purpose: The purpose of the Institute is to:

- Increase the flow and amount of resources
- Provide services to the community through the public schools
- Encourage teachers' participation in staff and curriculum development
- Provide greater access to materials, money and practices

Teachers are the primary clients. Teachers who have been historically isolated from decision making are involved in their own staff development and in curriculum development.

Development: The Institute of Learning and Teaching became an operating unit of the University of Massachusetts in 1973. It performs a function in the University with regard to the Greater Boston public schools and maintains a relationship with other public schools. In the future, ITL plans to expand work with schools outside Boston and do more with a university graduate program.

Equity: Multicultural education is a major emphasis. Curriculum development is based on urban and ethnic needs.

Funding: ITL has six staff people paid by the University and they seek outside funds for activities. ITL functions as a broker, making contacts with a wide variety of per[illegible] education, from other universities, from cultural institutions and with publishers. ITL staff work with clients in helping them write proposals.

Strategies: The Institute uses the following strategies:

- Engaging in information sharing
- Facilitating a mutuality or "family" of common interests
- Mounting a concerted advocacy of equity products or practices
- Providing direct problem solving support

- Providing an array of potential alternative solutions
- Inventing new solutions
- Replicating a solution already invented

Conditions for Success: It is often counterproductive and dysfunctional to tailor programs which are based on research and experience for the sake of meeting inflexible regulations.

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Name: Interagency Workshop: Environmental Education

Target: Students and Adults

Activity: Involving people in their own learning about the environment and natural resources

Impetus: About 20 to 30 people with a common interest in developing some type of curriculum dealing with all aspects of environmental issues and emphasizing self-discovery and learning began this effort informally.

Purpose: Collaboration is directed toward:

- Defining new techniques
- Providing greater access to materials and practices
- Motivating and stimulating action
- Increasing flow and amount of resources to a variety of people
- Sharing experiences and learnings of what works
- Bringing together people with skills in processes and content for the development of curriculum units

Development: The collaborative began in 1972, sponsored by the U. S. Forest Service. In 1973 it reorganized and involved all agencies interested in environmental education for planning and decision making.

Equity: Increased efforts are being focused on people in the inner city. Neighborhood groups are being started to foster interest in environmental education.

Another collaborative in the U. S. Forest Service--Urban Outreach--has become more active in reaching nontraditional groups.

Organizational Interaction: People from the following agencies participate in planning and decision making:

American Institute of Architects
Bureau of Land Management
National Park Services
Oregon Board of Education
Oregon Department of Environmental Quality
Oregon Department of Fish and Wildlife
Oregon Department of Forestry
Oregon Environmental Foundation
Oregon Intermediate Education District

Soil Conservation Service
State Extension Service in Oregon and Washington
Corps of Army Engineers
U. S. Fish and Wildlife Service
U. S. Forest Service
Washington Intermediate School District
Washington State Department of Education
Washington State Department of Ecology
Washington State Department of Game
Washington State Department of Natural Resources
Washington State Department of Social Health Services
Washington State Department of Public Instruction
Washington State Park and Recreation Commission

Funding: All parties in the collaborative share costs and contribute time, money, skills, etc.

Impact: One measure of impact is the number of programs emerging. Informal analysis of questionnaires, interviews, media reports shows a higher level of understanding.

Conditions for Success: There must be a readiness to form a collaborative. Involvement of people is essential. Then, success breeds success.

Institutionalization: Participation, planning, support, producing programs and providing assistance have become normative and standard practice. The collaborative remains flexible and open to trying out new ventures in exploring the environmental education area. It has developed environmental committees for specific tasks and projects.

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Name: Little Tennessee Valley Educational Cooperative

Target: Three County School Systems; Four City School Systems

Activity: Develop delivery systems and networking

Impetus: Three counties and four major cities were affected when the Tennessee Valley Authority decided to dam up the Little Tennessee River and make a Model City Development Project out of that valley to improve economic conditions of the people. The University of Tennessee and TVA sponsored a series of charrette meetings bringing community people together to make recommendations. The people in these meetings--administrators, mayors, school people--recommended the creation of the Little Tennessee Valley Educational Cooperative.

Purposes: The Cooperative oversees and directs the development of the educational and service deliveries of the Model City to enhance the entire region.

Development: In 1971 a Board of Directors was created, including a school board member from each of the seven school systems and a representative from each of the three county commissions. Their role was to oversee the influx of federal funds from TVA, HUD and the Appalachian Region Commission and guide the efforts for creating a coordinated school system.

In 1973, the school superintendents of each of the seven school systems were added to the Board. In 1973, a psychologist was employed to set up delivery systems for psychological services, evaluation and teacher training in individualized instruction to enhance the programs of the school systems with better prepared staff. Several graduate students joined the staff of the Cooperative.

Two objectives were set: (1) to develop delivery systems and (2) to initiate and develop networking among and with the school systems.

Since the Tennessee State Department of Education does not support cooperatives in the state, it was necessary for each school system board to approve expenditure of funds for programs coordinated by the Cooperative.

Every year, every program goes through a review process to secure endorsement by local boards.

Funding: The Cooperative derives $300,000 from local school systems, $26,000 in federal grants and $100,000 for cooperative purchasing. Services provided are:

- School psychological services to five school systems

- Preschool programs for handicapped to three school systems
- Psychological services to gifted children
- After school inservice programs for teachers
- Environmental education resource development
- Cooperative purchasing

Strategies: The Cooperative:

- Supports the school systems involved
- Provides choices and elicits voluntary participation
- Functions as an extension of the seven school systems
- Provides procedures and approaches for coordinating services based on the ability and willingness of each school system to pay for them

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Name: Minnesota Women's Network--"All the Good Old Girls, Inc."

Target: Women

Activity: Facilitation of upward mobility of women

Impetus: A small group of women of the area felt the need for a forum to interact with each other, to provide mutual support, to provide unpublished employment opportunities, to further their careers, to alert the business community as to the availability of qualified women to serve on boards and commissions and to provide a meeting ground for women.

Purpose: The network's primary purposes include:

- Provide women greater access to information and practices that will help women
- Increase the flow and amount of resources to those women historically isolated from resources
- Create a sense of community, to foster a common family of interests
- Share experiences and learnings of "what works"

Development: The network started very simply and informally with five or six women meeting for lunch. Every time they met a larger number attended. A Steering Committee was formed; incorporation was secured. At the end of the first year, they discovered that the network had to be operated as a business, that it could not be run by volunteers. A paid director had to be employed.

Tight and orderly governance is a must. Another important feature of the network is its broad base membership.

Equity: Equity is not a major theme or topic per se but certainly it is implicit in the nature of the network. It provides information and referral services to women who are in inequitable positions.

Organizational Interaction: Many organizations and individuals interact with the network. YWCA, Working Opportunities for Women, all private and state colleges, the University of Minnesota, continuing education for women and continuing business education, local and national government offices, all the political caucauses, specialty organizations such as Women in Communication, the National Association of Women Business Owners, League of Women Voters, theatre organizations, doctoral students. The network newsletter reflects the resources and opportunities available in a multitude of of these organizations.

Funding: The network receives no funding. It is supported by membership fees. The workshops and special programs are self-sustaining.

Strategies: Some of the strategies used by the network are:

- Engage in information sharing
- Facilitate a mutuality or "family" of common interests
- Provide direct problem solving support
- Provide array of alternative solutions to members

At present, the network is developing a national link with 140 other women's networks all over the nation. Eventually a structure of national networks will be operational.

The network is geographically organized serving seven counties in Minnesota and parts of Wisconsin and Iowa.

Impact: Evidence of impact comes to the network through telephone calls, letters and testimonials at meetings. Support systems emerge by the formation of cluster meetings of specialties or interest groups. Enrollment of women at the colleges and universities has increased.

The present paid membership of the network is 1700. Approximately 100 new members a month are received.

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Name: Northwest Reading Consortium

Target: Local schools

Activity: Selection and implementation of R&D based innovations

Impetus: The impetus for planning by the Right-to-Read Directors in four Northwest states was the National Institute of Education's Research and Development Utilization Project.

Purpose: The purpose of the project was to:

- Provide services for the selection of innovative programs in reading in the Northwest
- Provide information about R&D based innovations
- Provide support for a wide array of implementation
- Strengthen efforts in the Northwest region in solving problems in reading

Development: From a simple interorganizational arrangement the NRC grew in complexity, with many spinoffs in the form of activities, subnetworks and other interagency collaborations in various states in the Northwest.

The contract for the NRC was between the Superintendent of Education in the State of Washington and NIE. It involved the Right-to-Read contact person in the states of Washington, Alaska, Idaho and Oregon. The aim was to help each of those states make operational their R_2R programs.

An advisory group was formed. The question of the administrative role of the Consortium remained unclear until the last year of the project. During the four years of the project the Consortium went through various stages:

1. Stage of ambiguity and unclarity about roles, functions, involvement, ownership, representation, decision making
2. Stage of making sense of its own identity and deciding in each state the most appropriate application of experiences, findings and tailoring the use of the state linker for the state program
3. Stage of deciding to continue the advisory group meetings, even though the project was terminating, for the sake of mutual support

Organizational Interaction: The State Education Agency for Washington provided general administrative support. Linkages with other agencies were: State Department of Education, intermediate service agencies, eight school districts, 32 schools, the Northwest Regional Educational Laboratory and colleges and universities in the four states.

Strategies: The Consortium used the following strategies:

- State symposiums
- Linker training workshops
- R_2R workshops
- Knowledge base and wide distribution of information about reading and research on instruction
- Facilitating a family of common interests
- Advocating the value of local school problem solving
- Providing direct problem solving support
- Using adoption/adaption strategies

Organizational Arrangements: The Consortium was geographically defined: NRC included the State Education Agencies of Alaska, Washington, Idaho and Oregon. NRC advocated the utilization of R&D based reading programs and a systematic problem solving approach.

Conditions for Success: It should be recognized that agencies do not interact with each other. People from agencies work together and interact on the basis of their obligations and job descriptions and on the basis of their representation of some constituency. The parameters of interagency collaboration are determined by the role expectations of the people from those agencies.

It cannot be assumed that the primary purpose or mission of an agency is identical with the purpose of persons from that agency involved.

The capability of getting things done varies among the agencies. The degree of power support for directors, linkers and others involved in the project also varies.

Contact:

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Name: Project Gain

Target: 225 Students (ages 9-11)

Activity: Meet Needs of Children Affected by Desegregation

Impetus: The project was the brainchild of the Deputy Superintendent for Instruction, Charleston County Schools (South Carolina). An important factor was the support of officers at the U. S. Office of Education and the Director of the General Assistance Center in South Carolina.

Purpose: The project was designed to meet the needs of children affected by desegregation, geographic living patterns, and isolation by:

- Motivating and stimulating action
- Increasing the flow and amount of resources to those historically isolated from resources
- Creating a sense of community
- Sharing experiences and learnings of "what works"

Development: Staff capabilities and the participation of volunteers from the community were particularly important in the growth and maturing of the project.

Equity: The major thrust of the program was to speak to minorities in terms of race, handicaps or any kind of situation that makes children a minority.

A slide presentation was developed to tell the Gain Story and shown throughout the state. A newspaper, the Gainer, was disseminated across the state to recognize students who regularly were not recognized by other means.

Alternative education programs concentrated on high risk students who had ability but were deficient in basic skills, potentially unsuccessful in society due to low self-concept.

Organizational Interaction: The project was operated by the Charleston County School District, and involved the City Police Department, College of Charleston, Trident Chamber of Commerce, local attorneys, business and professional associations, Department of Social Services, Substance Abuse Commission and Junior Achievement. The project has a communitywide advisory board and operates a Speakers Bureau.

The agencies collaborating and individuals in the community have been affected in that their perception has changed. The community has developed a more positive attitude toward the public school system and the quality of education provided. They see the values and benefits in the Gain Program.

Funding: Primary funding is from the U. S. Office of Education, Emergency School Aid Act.

For two years of the five years in operation, the South Carolina Arts Commission provided a filmmaker in residence who taught cartooning and involved students in producing a film about blacksmithing which was purchased by the Smithsonian Institute and shown on public television.

Strategies:

- Engaging in information sharing
- Facilitating a mutuality of common interests in the community
- Providing direct problem solving support to schools

Organizational Arrangements: The project is organized both around the implementation of a specific program and around a special population group.

Technical Assistance: General Assistance Center (OE) in Columbia, South Carolina, has been a major source of technical assistance.

Conditions for Success: The degree of involvement and participation of collaborating agencies with students and staff is very important, as well as the way the advisory committee functions.

There needs to be a plan to keep the local school board informed and involved in the progress and development of the collaborative.

In working with other agencies, a work contract should be developed to identify their responsibilities for supporting and participating in the project.

Plan early to develop a phaseout of financial dependency.

Institutionalization: A number of aspects of the program have become ongoing activities in many of the schools, e.g., Junior Achievement activities; principals continue to make arrangements to have visiting artists visit schools on a regular basis; the local district now is paying the teachers in Project Gain and has incorporated many of its features in the ongoing activities.

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Name: Public Schools for Cooperative Research (PSCR)--School Study Council

Target: Public School Superintendents

Activity: Sharing of Common Problems and Solutions

Impetus: The School Study Council idea started in 1942; PSCR started in 1957 because the idea of cooperation was attractive to Tennessee school districts, principally because of their lack of funds.

Purpose: The purpose of the Council is to improve educational leadership activities in East Tennessee by:

- Defining new techniques
- Providing greater access to money, materials and practices
- Motivating stimulating action
- Creating a sense of community among superintendents
- Sharing experiences and learnings of "what works"

It also provides a bridge between the University and the field.

Development: The Council has moved from a limited arrangement, meeting two or three times a year to share ideas in general, to an organization that runs programs and holds regular meetings, e.g., Superintendents Institute. It conducts federally funded projects consistent with the purposes of the organization (e.g., NDN State Facilitator for Tennessee, funded workshops on school maintenance, mini-grants for teachers in Environmental Education).

The Council is informally organized and is made up of a Director and member superintendents. Faculty members in the College of Education accept assignments for managing and coordinating activities of the Council, e.g., one faculty member is in charge of the Superintendents Institute, one is in charge of programs for principals.

Equity: Informal guidelines for equity are encouraged in securing graduate assistants for the several projects and programs. One major concern is school districts of the Appalachian poor. PSCR initiated the Race/Sex Desegregation Assistance Centers (currently funded as a separate entity).

Organizational Interaction: Primary interaction is between the University of Tennessee and local school systems, and with other educational cooperatives in the state (National Diffusion Network, State Department of Education, RESAs, etc.).

The University provides the time of the Executive Director, secretarial time and office space. The local schools provide dues, people to go to meetings and program ideas. The NDN provides program ideas for the agenda of the Study Council meetings. Graduate assistants in the Study Council come from member school districts.

Funding: A dues structure of $100 to $500 based on pupil size of districts provides $8,000. Interest from savings deposits provide some money for special services.

Strategies: Educational improvement strategies used by the Council include:

- Engaging in information sharing
- Facilitating a mutuality of common interests
- Providing direct problem solving support
- Replicating a solution already invented
- Dissemination and diffusion strategies
- Inservice training
- Use of graduate assistants

Conditions for Success: Sufficient funds for operation should be generated locally and reliance on external funding should be avoided.

If a council becomes too big, it becomes difficult to manage and remains more impersonal.

An informal and flexible structure is better than becoming too rigid.

The Council is an organization of members supported by members.

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Name: Staff Development of Educational Personnel: The West Virginia Plan

Target: 24,000 certificated professional educators in 55 county school districts in West Virginia

Activity: Statewide program of continuing education for improving performance of school personnel in West Virginia

Impetus: The program was initiated in December 1975 by the West Virginia State Department of Education's Division of Professional Development Systems. A 37-member statewide task force was composed of individuals and agencies representing the major constituent groups involved in continuing inservice education.

Educators wanted the program. The desire was to improve training for meeting their needs and the needs of students/learners.

Purpose: The plan was designed to develop training programs to improve the performance of teachers and learners at the local level.

Development: The task force carried out 18 months of activities and recommended the plan to the state superintendent of schools. It was subsequently adopted by the West Virginia Board of Education. The program includes a design for implementation within contracts in all counties (being fully implemented in 55 school districts) and individualized continuing education outside of the school contract (recommended for further study).

Support has been multifaceted. There is corrdination of resources within the Department of Education and across colleges and universities, regional educational service agencies and teacher education centers. Community colleges, colleges and universities have provided stimulation, regional educational service agencies are involved in implementation.

Organizational Interaction: In each school district the role of teachers has been strengthened in making decisions about their own training. Each school district has a council made up of a majority of teachers for collecting needs assessment data, identifying program objectives from needs, developing plans and evaluating programs. Principals, county administrators and higher education persons are in the council.

Funding: ESEA/Title IV-C funds are budgeted for continuing education. Each county received a $2,000 grant, plus an amount for the number of staff in the county and incentive for days committed for training. Special education categorical funds are used and funding has been requested from the legislature.

Strategies:	Strategies incorporated in the plan include: Systematic approach based on data coming in from each county, direct problem solving support, invention of new solutions.
Organizational Arrangements:	The program is geographically organized, but also organized around issues related to improving school practice: state mandates, federal mandates, curriculum thrusts, issues in competency testing, testing of students, teacher needs.
Technical Assistance:	Teacher education centers, the State Department of Education, RESAs, and higher education provide technical assistance to the program.
Impact:	Four to five years from now, needs assessments should be standard practice and the relationship between training of teachers and pupil performance should be clearly understood.
Conditions for Success:	It is critical at the outset to identify major constituent groups to be affected, involve them in the planning and state assumptions clearly.
Institutionalization:	The West Virginia Board of Education has mandated the program (fully adopted) and formal procedures are established for state and local policy formation and implementation.
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Name: Statewide BOCES Network

Target: Public School Districts (administrators, teachers, students)

Activity: Administration of federal, state and local programs providing instructional and non-instructional support services

Impetus: Development of BOCES was initiated by the State Legislature in 1965. Legislation created a process to allow time to be formed. Formation was then based on voluntary action by local districts.

Purpose: The primary purpose of BOCES is to increase the flow and amount of resources to local districts. The primary focus is on children with special needs; most activities deal with special education. This is accomplished by administration of such programs as Title I, bilingual education, migrant education, etc. This is now expanding to other instructional and non-instructional support service areas.

The general goal is economy and efficiency of service delivery.

Development: Difficulties revolve around the concept of how districts cooperate and reach common decisions. The BOCES have evolved in isolation from each other. There are some commonalities but no strong financial support from the state. New work is beginning to look at how the three levels (local, intermediate, state) define priorities and roles among them to maximize resources.

The LEAs--particularly the superintendents--are in the leadership role in promoting BOCES. Staff of the BOCES themselves also are a source.

One of the most important techniques is to have a process person in the collaborative (or close by) to provide human resource support for process skills (versus technical skills). Effective participation in decision making is particulary important.

Equity: Equity is the major concern of BOCES activities--that is, how to deliver services to enhance equal educational opportunity.

Awareness is most important in fostering equity by LEAs by making them aware of needed services and how they can be provided.

Work with parent advisory councils for programs. They are sensitive to the need for most effective ways of doing this. Care must be taken to avoid conflict with local administrators who know that more money is needed to provide services as more people are aware of and request special services. That is, creating more business causes financial problems.

Organizational Interation: LEAs almost totally dominate interaction with BOCES; the SEA is minimally affected. Service priorities are generated from within the BOCES organization.

Funding: Roughly 30 per cent of funds come from LEA buy-ins and the remainder from federal title programs which flow primarily through the state. LEAs are the beneficiaries. Title funds result in a great deal of constraints; BOCES have very little freedom in categorical programs.

Strategies: BOCES are both a "bookkeeping operation" for federal funds and provide direct assistance to local staff, and serve students directly. They engage in information sharing and increasingly are providing an array of alternatives to LEAs.

Organizational Arrangements: BOCES are obviously geographically oriented. They are primarily organized around categorically funded programs, but do not advocate unique products.

Technical Assistance: The SEA does not offer much technical support except in categorical programs. Talent banks/resource banks are a primary form of assitance. Technical assistance is primarily informal.

Impact: There is an informal process of personal feedback from teachers, etc. Some formal program audits are conducted by the SEA in title programs.

Teachers are the primary membership impact group. There is some impact on principals because the programs are visible in their buildings. There has been little impact involvement of the Chief State School Officer, but recently there has been increased attention.

Conditions for Success: Success is an increase in services for kids with identified needs; an increased awareness of products and data based decision making. The ability to respond to LEA needs for services is paramount.

Institutionalization: District response to kids with special needs has been raised to an institutional level.

Critical elements in institutionalization:

1. Recognize perceived needs versus real needs
2. Look at problems versus symptoms
3. Beware of implementing because of false expectations.

4. Get as much involvement as possible. BOCES have remained fairly parochial. There has been little involvement of universities or teacher associations.

5. Expand input and support base.

6. Develop credibility; process management is important.

The unique feature of BOCES is the ability to respond to LEAs and being dependent on them. Support and control both come from the same agencies. This was built in by legislation in the structure and support.

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Title: THEE DOOR: Alpha Program, New Horizon Program and Youth Development Center

Target: Students, Teachers and Parents

Activity: Substance Abuse Prevention

Impetus: THEE DOOR began in 1971 as part of the Orange County Health Department when the community was experiencing a drug epidemic. The local Juvenile Justice Authority identified a high number of kids involved in drugs who needed to be committed, but felt that the State School was not the appropriate place.

Development: THEE DOOR created a system in the community where the school would provide two teachers, a part-time occupational specialist and educational material to the Youth Development Center. It incorporated independently in 1974.

The Alpha Program was initiated by:

1. Presentation of the program to teachers and principals

2. Agreement to select the 20 children with most severe behavioral problems who were potential drug abusers

3. An 11-week program (three days a week in the program, two days in their own classrooms)

4. Intensive training for classroom teachers

5. Family counseling

The New Horizons Program was initiated to provide master counselors to a large high school of 3,000. Young people attended special classes of the program for academic credit daily.

Organizational Interaction: The program involves interaction among community based organizations, the criminal justice system, the Department of Health and Rehabilitation Services, the Youth Diversion Project of the Juvenile Court, five Comprehensive Mental Health Centers, The Metropolitan Alcoholism Council, Half-Way houses and the Human Services Planning Council (planning arm of local government).

Funding: The Florida Legislature has given statewide support to the Alpha Program. Federal and state grants have to be matched with local dollars. The school system provides teachers and services as a local match.

Strategies:	THEE DOOR recognizes it cannot be all things to all people. Neither does it have to be in competition with other agencies. Areas of expertise are defined. Skills, resources and information are shared. Direct problem solving support is provided with an array of potential alternative solutions.
Organizational Arrangements:	THEE DOOR serves two counties in Florida and programs are organized around special population groups.
Impact:	Indicators of success include: Kids are able to return to classroom School systems are willing to participate on a 50/50 basis Funders are willing to continue funding
Conditions for Success:	Resources need to be combined and pooled to produce a better program or product. To have an effective collaboration takes time. Joint planning over time is a necessity. When making a commitment based on certain assumptions, be sure the other collaborator knows what those assumptions are and be ready to renegotiate.
Institutionalization:	Institutionalization occurs when the programs become standard practice and there is acceptance of non-school personnel in the education process.
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Name: The Exchange

Target: Minneapolis Public Schools

Activity: Dissemination Function of the Minneapolis Teacher Center

Impetus: After seven years a merger took place between a public high school in the city and the University Laboratory School. Merging two staffs, the Center emerged out of a policy board of that effort.

Purpose: The purpose of the The Exchange is to:

- Increase the flow and amount of human and material resources to those historically isolated from resources
- Provide technical assistance (women and minorities)
- Contribute to school improvement

Development: Major factors in the development of The Center and The Exchange are:

- The staff of The Center and The Exchange
- Federal funding got things moving
- Involvement of parents and community agencies

Equity: There is a real commitment to equity, demonstrated by a women and minorities program.

Organizational Arrangements: The Center is a joint agency of the Minneapolis Public Schools and the University of Minnesota working with:

- Local school educators
- Planning effort with CETA in 18 counties
- State Education Agency
- ESEA Title IV-C
- National Dissemination Network (the Regional R&D Exchange operated by the CEMREL Education Laboratory and the National Diffusion Network)
- Teacher Center Exchange

Technical Assistance: The Teacher Center is part of the Division of Curriculum and Instruction of the College of Education of the University of Minnesota, which is a source of technical assistance and resources.

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Name: The National Collaboration for Youth

Target: Thirteen of the largest Youth Serving organizations and their constituencies

Activity: Legislation, better youth services, formation of a National Youth Plan

Impetus: In the early 1970s several national youth serving organizations, such as Girls Clubs, Boys Clubs, YMCA, YWCA, Camp Fire, Boy Scouts, Girl Scouts, Big Brothers, Red Cross and others became interested in the passage of the Juvenile Justice and Delinquency Prevention Act. These organizations recognized that as a group representing services to more than 30 million young people they could collaborate effectively in affecting public policy issues.

Purpose:

- To work collaboratively to affect public policy issues
- To study and deal with issues of juvenile justice in more holistic ways
- To influence federal legislation
- To involve the private and public sector

Development: Initially a Washington, D. C. group of these organizations became a national support group providing political representation and legislative liaison.

Several subgroupings emerged within the collaborative to provide direction and guidelines for the total work of the National Collaboration for Youth, such as, quarterly meetings of the agencies' executives, quarterly meetings of senior program staff of the agencies. These groups developed program initiatives that could be carried out collaboratively.

The concept of collaboration has gone beyond the work of influencing public policy and has moved toward the designing and implementing of program initiatives which the agencies consider crucial to their own life blood.

Equity: The collaborative is concerned about the issues of equity. The efforts of the collaborative include providing minitorities and disadvantaged population of youth with a fair share in the program initiatives undertaken. The various agencies in the collaborative play different roles at different times in bringing equity to service delivery.

Organizational Interactions:	The 13 agencies forming this collaborative constitute a subgroup of the National Assembly of National Voluntary Health and Welfare Organizations. These agencies interact by holding joint meetings, exchanging resources, and sharing information.
Funding:	The collaborative draws upon the resources of the National Assembly to which all agencies pay dues. In addition, the agencies tax themselves to support the staff of the collaborative. The Department of Labor provides funds.
Strategies:	• Engaging in information sharing • Facilitating a mutuality of common interests • Mounting a concerted advocacy of equity and of practices • Providing informal opportunities for problem solving support • Inventing new solutions • Developing delivery systems
Organizational Arrangements:	The collaborative is organized nationally and works on national issues. It is organized around special issues.
Technical Assistance:	The collaborative does not receive formal technical assistance from funding sources. Technical assistance is received in the form of informal sharing and support among the participating organizations and agencies.
Impact:	The work of the collaborative has had significant impact on the member agencies. These agencies have recognized that working together to influence legislation and to develop program initiatives serves their own best self-interests. The collaborative has been the major influence in the passage of Juvenile Justice legislation.
Conditions for Success:	The recognition by the participating agencies that the collaborative is vital to their own self-interests. Mutual support and mutual exchange of information among the agencies is critical to success.
Institutionalization:	The most significant institutionalization is the commitment among the participating agencies to continue collaborating not only to influence national policy but

to mutually develop program initiatives and secure funding from federal agencies.

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Name: The National Juvenile Justice Program Collaboration

Target: Status Offenders and Youth at Risk

Activity: Building collaborative structures in communities to work on issues of juvenile justice and youth advocacy

Impetus: The passage of the juvenile justice legislation. Over 22 national organizations came together to form the National Juvenile Justice Program Collaboration. This collaborative includes organizations other than youth serving organizations.

Purpose:

- To demonstrate nationally and locally how agencies serving youth can work better collaboratively to provide services for deinstitutionalized status offenders
- To maximize the resources each agency has and to share experiences in areas of common interest
- To encourage participation in local communities

Development: Since the formation of the collaborative in 1974 six local communities have been involved in developing structures to deal with issues of status offenders. The experience in these six communities is now being studied and disseminated to other communities.

A source of energy and vitality has been the leadership and commitment of executives of the various organizations participating who believe in collaboratives.

Equity: The collaborative not only deals with issues of equity related to the poor and minorities but also as it pertains to issues of girls in juvenile justice.

Organizational Interactions: Representatives of 22 national organizations, including staff and board members form a series of task forces and steering committees which provide the leadership required for the collaborative. It maintains a close relationship to the National Assembly of Voluntary Health and Welfare Organizations.

Funding: Each participating organization contributes human and material resources. The office of Juvenile Justice provides the funds required.

Strategies:

- Engaging in information sharing
- Facilitating mutuality of common interests
- Maintaining a concerted advocacy for youth, equity and practices in juvenile justice

- Replicating solutions and experiences developed in pilot communities
- Encouraging and facilitating local community collaboratives among youth serving organizations

Organizational Arrangements:

- Local communities program implementation
- Local community advocacy groups
- Special populations

Technical Assistance: The office of Juvenile Justice has provided technical assistance through the use of consulting firms.

Impact: At the national level the impact has been significant. Participating organizations have asked for additional training and have recognized the advantages of collaboration for influencing national policy.

The programs for status offenders are being evaluated in many of the local communities in which programs are being implemented.

Institutionalization: The national collaborative will continue to exist regardless of the availability of funding. Plans are in the works to continue implementing support to local communities.

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Name:	Urban League
Target:	Blacks and Other Minorities
Activity:	Employment, job training, energy, administration of justice
Purpose:	The Urban League pursues activities to obtain equality of opportunity for Blacks and other minorities in all sectors of the society. It serves as an advocate of educational interests at the national level. Each local affiliate has the prerogative of developing its own programs. They operate educational programs, e.g., tutorial programs, training programs for young people about to enter college. The educational division of the national headquarters provides technical assistance to the affiliate with regard to their educational programs.
Funding:	The primary source of funding are: • Private sector • Membership dues • Federal government funding
Strategies:	The Urban League uses three primary strategies: • Advocacy of equity • Information sharing • Providing array of alternative solutions
Organizational Arrangements:	The League has its national headquarters in New York City, with 116 affiliates located in cities across the country. These are autonomous units operating under a common set of broad policies and concerns contained in a document called Statement of Affiliation. The local affiliates are supported by local funds, elect their own Board of Directors and appoint an Executive Director.
Contact:	J. Williams Urban League 500 E. 62nd Street New York, New York 10021 (212) 644-6500

Appendix A

SELECTION PROCESS

SELECTION OF PROJECTS FOR INTERVIEW

Criteria

Nomination and final selection of the 26 projects for interview were made jointly by staff of NIE's Regional Program and NWREL and were based on the following criteria:

1. The 26 projects should represent a broad spectrum of people, groups, educational and other social service concerns and issues and geographical representation.
2. The 26 projects should be representative of the four interorganizational categories in the technical proposal.
   a. Geographically-defined
   b. Defined on the basis of program or product implementation
   c. Defined on the basis of advocacy of issues related efforts
   d. Defined on the basis of service to special population groups
3. The 26 projects should be recognized as effective collaboratives that utilize intermediaries to improve practice, and increase equity.
4. The 26 projects should represent a wide diversity of target groups and educational and social service agencies. At minimal those engaged in the collaboratives studies should include children, teachers, administrators, school board members and members of community groups, intermediate units and state educational personnel, administrators and staff of higher education, and members of local, regional and national advocacy groups and social service agencies.

Procedures

We followed these procedures in seeking nomination and making selections of the 26 projects for interview:

1. We made contact with 50 different agencies such as: National Institute of Education, the U. S. Office of Education, National Institute of Mental Health, National Institute of Drug Abuse, Departments of Health and Welfare, state, intermediate and local education agencies, colleges and universities. We shared the criteria listed above and secured nominations based on the criteria.

2. As we secured nominations, we made additional calls to other agencies to test their perception of how well the mentioned projects met our criteria.

3. We made an initial call to all project representatives nominated for the purpose of checking with them whether or not they met our criteria, and based on the results of the exchange to secure from them an agreement to participate in a 45 minute telephone interview. Following this agreement, we mailed to each project representative a confirming letter of agreement and a questionnaire to serve as a guide for the interview. (See Appendix B)

Construction of an Interview Format

Criteria:

The construction of an interview questionnaire and the format for the interview was based on the following criteria:

1. The questionnaire should seek to get information about the four interorganizational categories in the technical proposal.

2. The questionnaire should seek information in four major areas:

   a. Description of the Collaborative

      - Impetus
      - Purpose
      - Development
      - Equity

   b. Organization of the Collaborative

      - Organizational interactions
      - Funding
      - Strategies
      - Organizational Arrangements
      - Technical Assistance

   c. Impact of the Collaborative

      - Impact
      - Conditions for Success
      - Institutionalization

d. Concluding remarks

- Unique features of collaborative
- The future of the collaborative

Procedures:

We followed these procedures in conducting the interviews and summarizing the data from them:

1. On the appointed day for the interview we called the representative for each of the projects.
2. We reported the need for tape recording the interview and received permission for doing so.
3. We invited the representatives to report their answers to the questionnaire. During the interview the interviewer raised questions for clarification and rephrased questions as needed to encourage additional information.
4. After the interviews the tapes were transcribed and summaries were prepared.
5. We mailed the summaries of the interviews to each representative asking them to add, subtract, or modify any of the information summarized. Each project representative verified the summary for his or her project.

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Appendix B

INTERVIEWING QUESTIONNAIRE

Name of Collaborative ______________________________

Target Population _________________________________

Major Concern/Issue/Activity __________________________

INTERVIEW QUESTIONS

I. Description of the Collaborative

A. Impetus

1. Who or what provided the impetus for the development of your collaborative arrangement?

2. Who or what provides the incentive for fostering and maintaining your collaborative?

   -- What are the incentives?

B. Purpose

1. Collaboratives usually have one or more purposes, such as the following:

   -- To define new techniques
   -- To provide greater access to money, or to materials, or to practices
   -- To motivate/stimulate action
   -- To increase the flow and amount of resources to those historically isolated from resources
   -- To create a sense of community (a common family of interests)
   -- To share experiences and learnings of "what works"
   -- Others

   Which one or ones would be most descriptive of the purpose of your collaborative?

2. Is the current purpose of your collaborative the same as, or different from, the original purpose?

3. If the current purpose is different,

   -- in what ways does it differ?
   -- how did the difference come about? People pressure? Policy-level pressure? What?

4. What outcomes or goals or objectives or intentions does your collaborative have?

C. Development

1. Describe how your collaborative evolved:

   -- How did it start?
   -- How did it mature?
      -- What were the critical difficulties you experienced during each evolutionary stage?
   -- Where is it now?
   -- What do you see as future development?

2. What is the energy source, the source of vitality, of your collaborative?

D. Equity

1. Have you identified equity as a major concern in any documented form (e.g. proposal, purpose, strategies)?

2. What groups is your collaborative designed to impact?

3. How do you go about maintaining and/or fostering educational equity?

4. What is the level of involvement of decision making agencies (e.g. LEAs, SEAs) in your collaborative?

5. In what ways does your collaborative respond to the needs of unserved and underserved populations?

6. To what extent and in what ways is your collaborative responsive to those for whom information is least available and who may have little influence over programs for educational improvement that affect them directly?

7. Who are the disenfranchised and/or disadvantaged people who have gained because of the existence of your collaborative?

II. Organization of the Collaborative

A. Organizational Interactions

1. What organizations are the major actors interacting within your collaborative? To what extent? In what ways?

2. What organizations are affected by your collaborative? To what extent? In what ways? (Affected = influenced, impacted, changed.)

3. What is the nature of the contribution of each organization to your collaborative? (E.g. products, emotional support, programs, people, etc.)

B. Funding

1. What are your sources of funding and what is their breakdown -- percentages of your total funding picture?

2. What funding does your collaborative or each component organization receive in support of the functions and activities of the network?

3. What kinds of constraints and/or what measure of freedom do your sources of funding provide?

C. Strategies

1. Collaboratives can be seen as potentially employing one or all of the following overall strategies:

    -- Engaging in information sharing
    -- Facilitating a mutuality or "family" of common interests
    -- Mounting a concerted advocacy of equity or of products or practices
    -- Providing direct problem solving support
    -- Providing side array of potential alternative solutions
    -- Inventing new solutions
    -- Replicating a solution already invented

    Which one or ones would be most descriptive of the strategy(ies) you use?

2. Does your collaborative employ other major strategies? What are they?

D. Organizational Arrangements

1. As you describe the way you are organized, which ones of the following categories represent the reasons for which you are organized?

   a. Geographically organized-- you are primarily concerned to serve a geographical area

   b. Organized around the implementation of programs/ products -- you are primarily concerned with advocating a particular program or product

   c. Organized around issue related efforts to improve school practice -- you are primarily concerned with action about discrete problem areas

   d. Organized around special population groups -- you are primarily concerned with the needs of schools serving special groups

E. Technical Assistance

1. What is the role of your funding agent with respect to the provision of support or technical assistance?

2. What kind of technical assistance do you find. . .

   -- most helpful?
   -- from whom?

3. Is the technical assistance you receive of a formal or/and informal nature? Explain.

III. Impact of the Collaborative

A. Impact

1. How do you tell when what you intend to do is getting done?

2. What constitutes impact for your collaborative?

Using your definition of "impact," think of the four groups which have been identified as impact targets: teachers, principals, school board members, chief state school officers.

3. Do you impact each target group listed above differently? How?

4. What percentage of the membership in your collaborative is made up of each target group listed above?

5. What percentage of each target group listed above is influenced by activities of your collaborative?

B. Conditions for Success

1. How do you define "success" for your collaborative?

2. What conditions exist that make your collaborative successful?

3. What conditions exist which make successful collaboration difficult for you?

C. Institutionalization

1. What are some things your collaborative started that have become standard practice?

2. To what extent are you now included in the budget of the organizations in your collaborative? (E.g. line items for coordinator, operating expenses, travel, support staff.)

3. Other than your collaborative, where do you get your support? Who demonstrates support? What do you do to gain and maintain support -- identify three things.

4. If your funding source went away, would your clients support this collaborative?

5. What advice would you give to policy makers about initiating, supporting, and institutionalizing your collaborative?

IV. Concluding

1. What is the unique feature(s) about your collaborative?
2. How do you account for this?
3. Five or ten years from now, what should be the logical funded "off-spring" of your collaborative? What should these future projects do? How?

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